



State of Iowa

***Continuity of Operations (COOP)
&
Continuity of Government (COG)***

Planning Guidance

November 23, 2005

INSTRUCTIONS FOR THE USE OF THE COOP/COG PLANNING GUIDANCE DOCUMENT AND PLANNING TEMPLATE:

#1: Start with this document. You will have difficulty using the Template if you do not read this Planning Guidance document first.

In an effort to assist each department in the development of its individualized Continuity of Operations (COOP)/Continuity of Government (COG) Plan, we have developed this State COOP/COG Planning Guidance, as well as, a Planning Template to assist in the documentation, writing and implementation of those plans.

Some of the text found in this guidance document may also be found in the planning template and is intended to serve as 'boilerplate' information and to serve as a standardized format/outline. Each department has the option of editing text to suit its specific needs. However, departments should not change the basic format/outline as we desire to standardize plans between all departments.

When you use the Planning Template, you will find text that is **<highlighted in yellow>**. This information is provided for instructional purposes or to identify department inputs. Once you have completed the inputs and instructions are no longer necessary, information should be deleted or highlights should be removed, as appropriate. Additionally, some sections may be highlighted in yellow as a point of reference; each department must determine if it is applicable to them and, if so, complete that section. If not, it should be deleted.

As you proceed through the Planning Template, you will be required to understand the associated planning guidance provided in this "*State COOP/COG Planning Guidance*" document. Have it available to reference as you complete the template.

FOREWORD

Iowa State departments and commissions have the responsibility for the safety of their employees and an obligation to the people of the State and Nation to be able to continue to operate in a prudent and efficient manner even in the circumstance of an impending or existing threat.

On March 3, 2005, Governor Vilsack signed Executive Order Forty requiring all State executive branch agencies to prepare a Continuity of Operations (COOP) and a Continuity of Government (COG) plan. The purpose of continuity planning is to ensure survival of a constitutional form of government and the continuity of essential functions. Additionally, COOP and COG planning is conducted in Iowa to ensure the State's ability to deliver essential services under any circumstances.

The historical need for Continuity of Government and Continuity of Operations Plans is traced back to Presidential Decision Directive (PDD) 67. Although PDD 67 specifically addresses Federal agencies, a similar necessity lies within State Government. There are two specific references related to this type of planning. Iowa Code, Chapter 29C.5 and 29C.8 both require comprehensive evacuation planning. In addition, the Iowa Severe Weather and Emergency Evacuation Policy, adopted December 2001, states: *"It is the Governor's philosophy that there must be plans to ensure that state government can operate under exceptional circumstances. Therefore, executive branch departments must deploy plans to ensure staffing and provisions of essential services to the public during severe weather or emergency closings."*

This plan documents Iowa State Government COOP and COG planning efforts and is accompanied by annexes containing standardized plans from all State agencies.

Recommended changes to this document should be addressed to the Administrator, Iowa Homeland Security and Emergency Management (HLSEM) Division, at (515) 281-3231. This planning document provides guidance for Iowa State Government COOP and COG planning efforts. The accompanying "Implementation Plan" template allows State agency planners to import required information into the template to develop standardized plans across all State agencies.

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Iowa HLSEM Division

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PROTECTION OF SENSITIVE SECURITY INFORMATION (SSI)

The components of the agency or enterprise-wide state COOP/COG plans that inventory infrastructure, facilities, and systems; assess the criticality, vulnerability, and level of threat to these assets; and address mobilization, deployment, and tactical operations involved in responding to or protecting these assets (Sections V, VI, VII, and IX of the template along with associated appendices) are confidential when submitted to and/or held by HLSEM. These components may be considered part of the state's critical asset protection plan and shielded from public disclosure under the current terms of Iowa Code 22.7(47).

SECTION I – EXECUTIVE SUMMARY

This planning guidance document provides the focus and priorities for State planning efforts, planning assumptions, specific guidance, a standardized format, and instructions for completion of Department/Agency specific Continuity of Operations (COOP)/Continuity of Government (COG) Implementation Plans.

Iowa has experienced 18 major disasters, both human and nature induced, since 1989; 16 of which have resulted in the Presidential declaration of a major disaster. Perhaps the most defining natural disaster in the State of Iowa, in recent history, has been the floods of 1993. During that summer, it rained at several locations within the State each day for 130 consecutive days. Some areas of the State flooded more than five times. Flooding resulted in 17 fatalities and more than \$2 billion in damage. Over 10,000 people were evacuated from their homes and 21,000 homes were damaged, others completely destroyed. In addition to natural disasters, catastrophic events occurring from other causes, such as terrorism and man-made systems, have increased in frequency and severity. Another recent example was the largest power outage to hit the State in over 30 years. It struck an area stretching from Ohio to Oklahoma in August of 2003. Today, our government faces a challenge unlike any before. These large-scale disasters exemplify the limitations of the resources and services that government can provide.

The fundamental mission of every Iowa State Government agency is reliability. Agencies provide vital services to the people of Iowa and cessation of these services can have a devastating effect on individuals, the State or the Nation. In the absence of a COOP and COG Plan, an agency cannot fulfill its mission should a crisis on any scale disrupt essential agency operations.

Simply put, COOP and COG Planning is a necessary “good business practice.” For years, such planning had been an individual agency responsibility that focused primarily on responding to emergencies within the confines of the organization. The content and structure of these plans, operational standards, and interagency coordination, if any, were left to the discretion of the agency. However, recent natural catastrophes and acts of terrorism have given government a better understanding of agency inter-relatedness, and consequently shifted awareness to the need for ensuring continuity of essential government functions across the State.

The State of Iowa’s goal is to implement a comprehensive and effective program to ensure COOP of State Government and the continuance of our constitutional government, under all circumstances. As part of this effort, the Iowa Homeland Security and Emergency Management (HLSEM) Division will serve as the focal point for all planning and coordination among State agencies to develop viable agency plans that ensures an enduring constitutional government and COOP through a full range of potential threats and emergencies.

Note: Some of the text in this guidance document will also be found in the planning template. It is intended to serve as basic ‘boilerplate’ information that ‘may’ apply to your department/agency COOP/COG plans. When you review this information, feel free to edit and/or customize that information to fit your department/agency needs.

SECTION II – OVERVIEW

A. INTRODUCTION

Consider the following scenario: It is 1:00 p.m. on Sunday afternoon and the National Weather Service just issued a Tornado Warning for the Des Moines metropolitan area. At 2:10 pm a category four tornado goes through the East end of Des Moines creating damage on a wide path across the city. The Capitol Complex has extensive wind damage with fallen trees and broken windows. The only building on the Capitol Complex suffering significant damage was the Wallace building. It suffered a near-direct strike and the building is considered unsafe for entry and suffered extensive water damage. In such a scenario, would the agencies in the Wallace building be able to continue operating and how would they do it?

The answer to this question is yes, *if* they had developed a viable Continuity of Operations (COOP) Plan. COOP Planning is the effort to ensure the continued performance of essential government functions during a wide range of potential emergencies. Whether the hazard is the result of a natural or human-induced event, an “all hazards” approach assures that, regardless of the emergency, essential functions will continue.

COOP Planning results in the development of a COOP Plan. COOP Plans should be designed to be applicable in a wide variety of emergencies. Threats can vary from naturally occurring events to man-made incidents and telecommunication or power failures. While bombs and fires capture the headlines, almost 90% of emergencies are “quiet catastrophes.” These seemingly low profile disasters have as great a potential to disrupt the agency and cause problems, as do the high visibility cataclysmic events.

B. PURPOSE

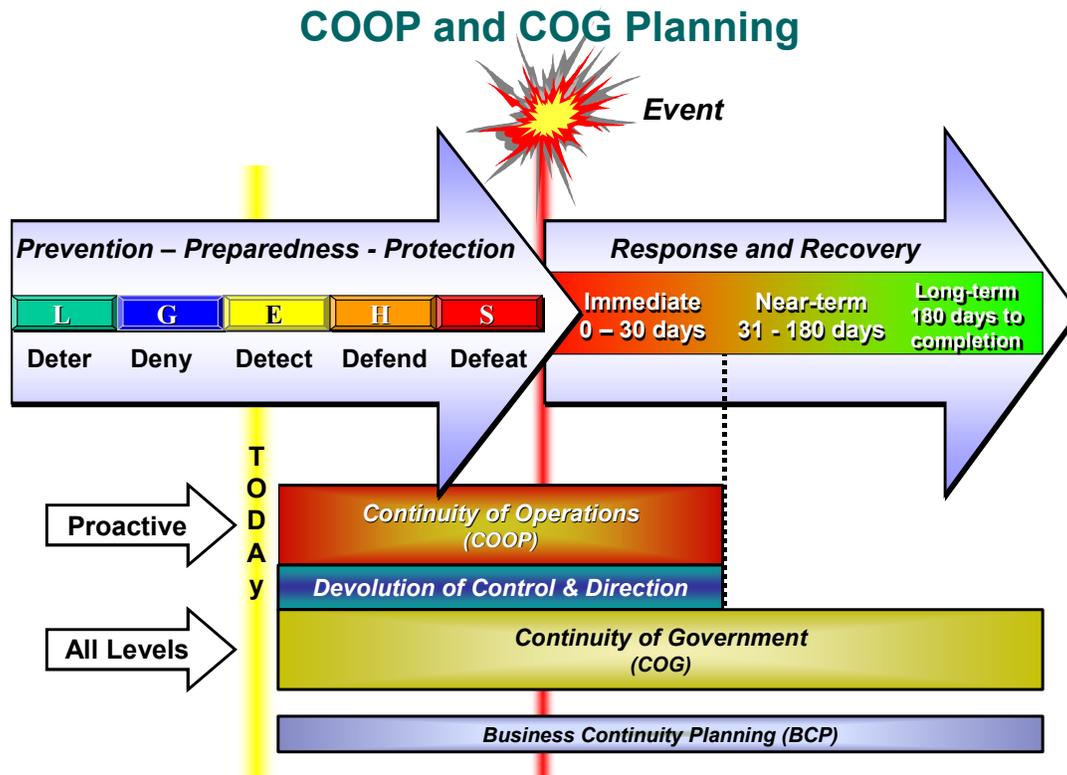
This ‘Integrated’ COOP and Continuity of Government (COG) Plan provides policy and guidance to ensure the continuation of Iowa State Government and its essential functions in the event Iowa State Government is threatened or incapacitated, thereby requiring the relocation of selected State personnel and functions.

The purpose of developing these plans is to provide a contingency operating structure for state government in the event of a failure of the critical systems, services, supplies and/or infrastructure on which government operations are dependent under normal conditions.

The key purpose of COOP/COG Planning is to reduce the consequences of a disaster to acceptable levels and to ensure that the capability exists to continue a constitutional government and essential government functions across a wide range of hazards and threats. Although, when and how a disaster will occur is not known, the fact that future disasters will happen is certain. How well (or poorly) a COOP/COG Plan is designed and personnel are trained and tested will determine how well prevention, preparedness, response, resumption, recovery, and restoration tasks are implemented when needed.

As shown in the following diagram, COOP and COG Plan implementation does not start with the occurrence of an incident – it begins in the early stages of an event, or with changes in the environment during the warning and alert phase. Historically, COOP and COG were associated only with Response and Recovery operations. In the new environment we are now living, COOP and COG planning and implementation actions must occur pre-event. Furthermore, we must develop mitigation strategies and plans to reduce risk and ensure continuity of operations associated with increased threat conditions, either natural hazards and threats or man-made. To accomplish this, we must be proactive in our approach to COOP and COG planning and involve all levels of State government.

Diagram 1 – Overview of COOP/COG Planning Concept



Prevention → Preparedness → Response → Resumption → Recovery → Restoration

The objectives of a viable COOP/COG Plan include:

- i. Ensuring constitutional government by requiring the head of each governmental department, division and bureau to ensure the continuity of essential functions in any emergency by providing for: succession to office and emergency delegation of authority in accordance with applicable law, regulation or policy;
- ii. Ensuring the continuous performance of an agency's essential functions and operations during an emergency;
- iii. To provide a means for information coordination with respect to the operating environment of state government throughout the state, and for reporting and documenting the changes in this environment as they occur;
- iv. To establish mechanisms for adapting this plan and department-level continuity plans, and their associated priorities and activities, to best fit a changing environment;
- v. To ensure that this plan, and all agency-level continuity plans, remain compatible with the Iowa Emergency Plan;
- vi. Protecting essential facilities, equipment, records, and other assets;
- vii. Reducing or mitigating disruptions to operations;

- viii. Reducing loss of life and minimizing damage and losses;
- ix. Achieving a timely and orderly recovery from an emergency and resumption of full service to customers;
- x. Achieving a timely and orderly recovery from an emergency and reconstitution of normal operations that allows resumption of essential functions for both internal and external clients; and
- xi. Ensuring and validating COOP readiness through a dynamic, integrated test, training, and exercise program to support the implementation of COOP Plans.

The key elements of a viable COOP/COG Plan include:

- i. Plans and Procedures
- ii. Essential Functions
- iii. Delegations of Authority
- iv. Orders of Succession
- v. Alternate Operating Facilities
- vi. Interoperable Communications
- vii. Vital Records and Databases
- viii. Human Capital
- ix. Testing, Training & Exercises
- x. Devolution of Control and Direction
- xi. Reconstitution
- xii. Responsibilities
- xiii. Security
- xiv. Logistics, Administration and Program Management

COOP and COG Considerations include:

- i. Alternative Modes of Operation Under Conditions of Uncertainty;
- ii. Vital Systems and Equipment;
- iii. Hardware/Software Requirements;
- iv. Communications Requirements;
- v. Advance Preparations of the Alternate Facility so COOP can be Activated;
- vi. Primary and Alternate Facility Occupancy and Resumption Plans;
- vii. Internal Reporting Requirements;
- viii. Agreements with Other State Agencies
- ix. Goal of Providing Essential Functions:

- a. Must be maintained at a high level of readiness;
- b. Must be capable of execution both with and without warning;
- c. Must be operational no later than twelve hours after activation;
- d. Must maintain sustained operations for at least fourteen days; and
- e. Should take maximum advantage of existing agency field infrastructures.

C. APPLICABILITY AND SCOPE

This Integrated COOP/COG Planning Guidance applies to the functions, operations, and resources necessary to ensure the continuation of Iowa State Government essential functions if normal operations are disrupted or threatened with disruption. This plan applies to all Iowa State Government employees.

This document provides guidance for the preparation and implementation of department specific COOP/COG Implementation Plans. The two main tools are the worksheets accompanying this document and the COOP/COG Implementation Plan template. Completing the worksheets will assist each department in assembling the information necessary to develop the critical components of a COOP/COG Plan. However, should your agency have any questions, call HLSEM for assistance with inter-agency coordination efforts and System Planning Corporation for clarification of the planning guidance and assistance with the planning template.

Because every department has a different mission, each department's COOP/COG Implementation Plan will be unique. Therefore, merely filling in blanks on the worksheets is not a substitute for a plan that allows for the continuance of department operations and essential government functions in the event of a major disruption. The template provides a bare bones structure for the plan itself. This, along with the information gathered through use of the worksheets and pre-planning, will assist an agency in completing a cohesive and comprehensive COOP/COG Plan specific to that agency's mission and needs.

A department can use existing standard operating procedures (SOPs) and emergency response plans as building blocks for development of a COOP Implementation Plan. These plans typically include procedures for use in the event of an emergency, such as building evacuation plans; plans for notifying the public of new office or service center locations and phone numbers; plans for developing site-support procedures, including security for alternate facilities; and methods for acquiring resources necessary to sustain operations for up to thirty days. Year 2000 (Y2K) plans and the Capitol Complex Response plan are also good foundations for developing department COOP Implementation Plans.

It is important to note, however, that SOPs and other response plans are not substitutes for COOP/COG Implementation Plans at any level. Each department must thoroughly examine its operations in light of COOP/COG concerns and use these procedures and plans only to assist in developing the COOP/COG Implementation Plans.

D. SUPERSESSION

This document updates all previous State of Iowa COOP and COG Planning Guidance.

SECTION III – AUTHORITIES, REFERENCES AND RESPONSIBILITIES

A. AUTHORITIES

- i. Iowa Constitution
- ii. Homeland Security in Iowa – January 2003.
- iii. State Continuity of Operations Plan (COOP) – June 2003.
- iv. Capitol Complex Plan – December 2003.
- v. Information Management Section – Emergency Response Team “Business Continuity Plan” – June 2003.
- vi. State Recovery Plan – June 2003.
- vii. Iowa Hazard Analysis & Risk Assessment and Hazard Mitigation Plan – May 2003.
- viii. Iowa Code 2001 Section 304.3 State Records Commission.
- ix. Iowa Code Chapter 29 C, Sections C.5 and C.8.
- x. Iowa Emergency Response Operations Plan – March 2003.
- xi. Iowa Severe Weather and Emergency Evacuation Policy - December 2001.
- xii. Iowa COOP/COG Benchmark Report – December 2004
- xiii. Governor’s Executive Order #40 – March 3, 2005.

B. REFERENCES

- i. The National Security Act of 1947, dated July 26, 1947, as amended.
- ii. Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended (42 U.S.C. 5121, et seq.).
- iii. The Homeland Security Act of 2002, PL 107-296, enacted November 25, 2002.
- iv. Executive Order (EO) 12656, Assignment of Emergency Preparedness Responsibilities dated November 18, 1988, as amended.
- v. EO 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, dated April 3, 1984.
- vi. EO 12148, Federal Emergency Management, dated July 20, 1979, as amended.
- vii. Presidential Decision Directive (PDD 67), Enduring Constitutional Government and Continuity of Government Operations, dated October 21, 1998.
- viii. PDD 63, Critical Infrastructure Protection (CIP), dated May 22, 1998.
- ix. PDD 62, Protection Against Unconventional Threats to the Homeland and Americans Overseas, dated May 22, 1998.
- x. PDD 39, US Policy on Counter-terrorism, dated June 1999.

- xi. Federal Preparedness Circular (FPC) 65, Federal Executive Branch Continuity of Operations (COOP), dated June 2004.
- xii. Homeland Security Presidential Directive (HSPD) 3, Homeland Security Advisory System (HSAS), March 12, 2002
- xiii. HSPD 5, Management of Domestic Incidents, March 12, 2002
- xiv. HSPD 7, Critical Infrastructure Identification, Prioritization and Protection (CIP), dated December 17, 2003
- xv. HSPD 8, National Preparedness, dated December 17, 2003
- xvi. 44 Code of Federal Regulations (CFR) 44 Part 2, Mission, Organizational Units, Functions and Delegations of Authority, dated October 1, 1997
- xvii. 41 CFR 101-2, Occupant Emergency Program, revised as of July 1, 1998
- xviii. 36 CFR 1236, Management of Vital Records, revised as of July 1, 1998
- xix. National Institute for Standards and Technology (NIST) SP 800-34 Contingency Planning
- xx. National Response Plan, 9230.1-PL, December 2004
- xxi. FEMA HQ Occupant Emergency Plan (OEP) pamphlet, FEMA Publications Office, March 2003

C. RESPONSIBILITIES

Each Department head and agency/division Director will identify and maintain essential functions and the individuals to support them, consistent with State guidance. Although the department's director may delegate these tasks, the head of each department should regularly monitor and be appraised of COOP team efforts. Moreover, there should be close coordination between department management and the team responsible for COOP Planning, regardless of its make-up. All departments and agencies will ensure that they are able to fulfill the roles and responsibilities outlined in the Iowa Response Plan and respective annexes. These responsibilities are listed so you will know the responsibilities of key departments and agencies in addition to your own. Please review your section to ensure your department or agencies responsibilities are listed correctly, as they pertain to COOP and COG planning.

- i. State Level Responsibilities
 - a. Governor
 - 1. Proclaim a State of Emergency, as appropriate, during periods of crisis;
 - 2. Conduct Statewide Emergency Public Information Program in conjunction with COOP/COG activities; and
 - 3. Order a State-initiated evacuation under Code of Iowa Section 29C.6, Subsections 13-16.
 - b. Administrator, Homeland Security & Emergency Management Division
 - 1. In coordination with the Governor's office, direct and control State resources in support of COOP/COG Planning and implementations.
 - 2. Provide necessary COOP and/or COG information, updates, or briefings to the Governor and appointed public officials.

3. Notify Federal agencies, as appropriate, of the implementation of COOP and/or COG Plans.
 4. Maintain a current copy of each department, division, or separate agency COOP/COG Plans.
 5. Integrate COOP/COG training and exercises into the State Homeland Security Exercise and Evaluation Program (HSEEP).
 6. Provide amplifying guidance to State agencies, as required.
- c. The Adjutant General
1. In coordination with the Director, Department of Public Safety, protect critical infrastructure that supports the implementation of COOP/COG Plans Statewide.
 2. In coordination with the Administrator, Homeland Security & Emergency Management Division, assist in the implementation of COOP and/or COG Plans Statewide.
 3. Coordinate and direct the use of Iowa National Guard resources.
- d. Director, Department of Public Safety
1. Provide security to the Governor, other elected officials, or key personnel as directed;
 2. Analyze threats and intelligence received at the State Government level, coordinate and share information (as appropriate) with State agencies; and
 3. Provide a safe and secure environment preceding and immediately following the implementation of COOP and/or COG Plans.
- e. Department of Administrative Services
1. General Services Enterprise
 - A. Maintain vendor lists, including emergency contact information, for potential private sector providers of critical disaster-response-related resources;
 - B. Monitor the status Statewide of buildings and other infrastructure owned or otherwise under the control of State Government; and
 - C. Locate and obtain the use of facilities for office relocation, staging areas, forward command posts, temporary warehousing and other emergency/disaster-related purposes.
 - D. Provide advice to State agencies with respect to emergency/disaster-related purchasing activities.
 - E. Provide priority State vehicle allocation services for emergency/ disaster-related use;
 2. State Accounting Enterprise
 - A. Modify or create financial management-related policies or procedures, when necessary to meet emergency/disaster response needs or track disaster-related expenditures.
 3. Information Technology Enterprise

- A. Provide information about the status of State information technology systems; and
- B. Provide Statewide information-assurance capabilities.
4. Human Resources Enterprise
 - A. Assist departments with procuring emergency/disaster-related personnel services when capabilities to do so have been overwhelmed.
 - B. Provide advice to State agencies with respect to emergency/disaster-related personnel procurement activities.
 - C. Provide information to State employees and their families.
- f. Department of Commerce
 1. Provide information and recommendations, either periodically or upon request, about the options for restoring emergency/disaster-affected utility infrastructure and/or utilizing temporary infrastructure alternatives.
- g. Department of Cultural Affairs
 1. Provide technical guidance to facilitate proper handling, salvaging, and reconstruction of records, artifacts, publications, and buildings during the response to an emergency or disaster.
- h. Department of Human Services
 1. Establish and implement a victim welfare inquiry process for use during and after the emergency/disaster.
 2. Provide stress management and mental health services for victims and state employees.
- i. Each Department Director
 1. Appoint a COOP and COG coordinator;
 2. Develop department-specific COOP/COG Plans in compliance with all guidance and instructions contained in the document;
 3. Coordinate with HLSEM and appropriate State, local and private agencies in the development of COOP/COG Plans;
 4. Designate personnel for COOP emergency relocation group (ERG) and specialty teams;
 5. Instruct COOP and Non-COOP personnel on duties and responsibilities associated with these plans;
 6. Schedule and conduct periodic training and exercises relating to the execution of this COOP Plan (see Section IX for additional guidance and instructions);
 7. Direct and control department resources during COOP/COG activation;
 8. Provide required reports and information to the State Emergency Operations Center (SEOC) in accordance with established schedules;
 9. Update COOP/COG Plans and supporting documents annually, at a minimum (see Section X for additional guidance and instructions); and
 10. Provide the Administrator, HLSEM a current copy of your COOP/COG Plan.

- j. State Government agencies that provide resources to HLSEM in times of crisis or emergency will:
 - 1. Coordinate with HLSEM for the provision of resources in external support of COOP/COG Planning and implementation; and
 - 2. Consider the impact, and requirement; of providing these resources during the development of your department specific COOP/COG Plans.

SECTION IV – STRATEGIC PLANNING

This section will address those areas that directly impact on the States ability to think and act strategically. The areas covered include: policy, multi-year strategy, program management, planning assumptions, and planning requirements for alternate work facilities.

A. POLICY STATEMENT

Although every strategic planning process is uniquely designed to fit the specific needs of a particular organization, every successful "model" includes most of these steps. The organization begins by identifying its vision and mission. Once these are clearly defined, it moves on to a series of analyses, including external, internal, gap, and benchmarking, which provide a context for developing the organization's strategic issues. Strategic programming follows and the organization develops specific strategies including strategic goals, action plans, and tactics. Emergent strategies evolve, challenging the intended tactics, and altering the realized strategy. Periodically, the organization evaluates its strategies and reviews its strategic plan, considering emergent strategies and evolving changes. It usually takes several years before strategic planning becomes institutionalized and organizations learn to think strategically. This Continuity of Operations (COOP) and Continuity of Government (COG) Planning Guidance document supports the State of Iowa Emergency Response Plan.

B. MULTI-YEAR STRATEGY

Dependent upon department essential functions and resources available to maintain those functions, each department should adopt one, or a combination, of the eight strategies below. Examples of potential strategies include, but are not limited to:

- i. Self-service: A department /business unit can transfer work to another of its own locations, which has available facilities.
- ii. Internal Arrangement: Training rooms, cafeterias, conference rooms, etc. may be equipped to support department functions.
- iii. Reciprocal Agreements: Other department /business units may be able to accommodate those affected. This could involve the temporary suspension of non-critical functions at the department not affected by the outage.
- iv. Dedicated Alternate Sites: Identified by your department to accommodate critical function continuance and/or recovery.
 - a. Hot Site: Designation of a hot site - a location that is staffed and ready to immediately accommodate the continuing operations of the department.
 - b. Cold site: Designation of a cold site - a location that is not staffed, but can be rapidly brought into use in order to accommodate the continuing operations of the department.
- v. External Suppliers: A number of external companies offer facilities covering a wide range of department recovery needs.
- vi. No Arrangement: For low priority department functions it may not be cost-justified to plan to a detailed level. Provided good business judgment is used and the risks are understood and accepted, it is reasonable to have no formal arrangements in place.

C. PROGRAM MANAGEMENT PLAN

Management of the State plan rests with the Homeland Security emergency Management (HLSEM) Division. The division's duties include coordinating Executive Branch agencies' COOP activities; providing guidance to departments in the development of COOP Plans; chairing a COOP Working Group, which serves as the principal interagency forum for discussion of COOP matters and for dissemination of information to departments; coordinating interagency COOP exercises; and conducting periodic assessments of Statewide COOP capabilities and reporting the results to the Governor. Although HLSEM Division is not responsible for developing individual department COOP Plans, HLSEM Division does play an important role as a coordinator of COOP activities across the State and as a provider of guidance to department and local governments.

D. PLANNING ASSUMPTIONS

The relationship of the COOP Plan to the Iowa Emergency Plan: Emergencies may arise while state government is operating under the COOP Plan. Such emergencies may or may not be a result of the factors that triggered the activation of the COOP Plan. In all cases, emergencies for which State assistance has been requested are to be responded to in accordance with the provisions of the Iowa Emergency Plan. The State (and Department) COOP Plan is designed to work in concert with the Iowa Emergency Plan, and is considered a part of the Iowa Emergency Plan.

It is recognized that the type and magnitude of the effects of a diminished environment cannot be predicted with certainty. Therefore, the scope of this plan and the associated agency plans is broad, and is intended to encompass a variety of potential failures. This plan is designed to provide a flexible response to multiple events occurring within a broad spectrum of prevailing conditions. The degree to which the plan is implemented depends on the type and magnitude of the problems encountered by state government. These problems:

- i. May be internal to state government or originating externally;
- ii. May be minor and isolated or significant and widespread;
- iii. Are assessed by the Intelligence and Planning and Information Coordination functions; and
- iv. Will drive the level of SEOC activation, including:
 - a. The number and qualifications of staff
 - b. The hours of operation
 - c. Non-human resource utilization

Although the department's director may delegate these tasks, the director of each department should regularly monitor and be apprised of COOP team efforts. Moreover, there should be close coordination between department management and the team responsible for COOP Planning, regardless of its make-up.

It is assumed that no department or separate agency will direct the implementation of their respective COOP/COG Plans without coordination with the HLSEM Division and approval of the Governor. Throughout this guidance document, when it refers to the Director making the decision to act, keep this in mind.

During a COOP event, office operations and activities will not be "business as usual." When devising a COOP Plan, each department must consider the assumptions underlying the plan. These assumptions include what threats will affect an department's ability to carry out its mission; the expected impact on the agency for each potential threat; the probability that each potential threat will occur; whether personnel or resources from other State agencies, municipalities or organizations not affected will be available; that the department will implement a plan within twelve hours after the event; and that the plan will provide for the ability to continue operations for

at least thirty days after the emergency. For planning, the following guidelines and priorities will be used:

- i. The level of documentation in each department plan assumes and requires that management and staff are familiar with their agency's missions, goals, functions, supporting tasks, its automated technology and the requirements of the COOP/COG Plan.
- ii. Essential functions will be prioritized based on the emergencies or threatened emergencies that can adversely impact the department's ability to continue to support essential functions and provide support to the operations of clients and external agencies.
- iii. Emergencies and threatened emergencies differ in priority and impact and will depend on each given situation. In general, priority will be given to responding to threatened emergencies in order to 'prevent or mitigate' the emergency. If an emergency has already occurred, priority will be given to life-safety.
- iv. The degree of risk associated with each department depends on the probability of an event occurring, current vulnerabilities, and the impact that event could have on operations.
- v. Threat assessments have been completed and reviewed by appropriate department staff.
- vi. Vulnerability assessments have been completed and reviewed by appropriate department staff.
- vii. Priority will be given to reducing risk in an effort to preclude having to implement COOP or COG Plans.
- viii. Most likely scenarios/events to plan for:
 - a. Utilities Failure: (electric, gas, fuel oil, etc.)
 - b. Fire
 - c. Storm or Flood
 - d. Workplace Violence
 - e. Hazardous Materials Release
 1. Chemical
 2. Biological
 - f. Bomb Threat
 - g. Explosion
- ix. Department and non-department personnel and resources located outside the area affected by the emergency or threat will be available as necessary to continue essential functions.
 - a. Priority will be given to existing State owned or operated field facilities for selection as alternate work sites.
 - b. Additional alternate work-sites may be acquired, and designated; by the Department of Administrative (DAS) once it is determined that sufficient space is not available at State owned or operated field facilities.

- x. When a COOP or COG event is declared, the department will implement a predetermined plan using trained and equipped personnel. Furthermore, each department must ensure timely coordination with the State HLSEM office.
 - a. Additional staff will be deployed in phases to the alternate worksite as needed.
 - b. Other staff may remain on standby until deployed to some other facility or duty station, and/or be assigned work to be accomplished at home.
- xi. Initially, only COOP and/or COG personnel will deploy to the alternate worksite until they have confirmed it is ready to receive other agency personnel and prepared to assume operations.
- xii. Department Directors will complete the following:
 - i. Appoint a department COOP/COG coordinator to serve as the department point of contact (POC);
 - b. Identify and establish an Emergency Response Group, with appropriate specialty teams (see Section VI for details);
 - c. Conduct a complete assessment and inventory of department missions, functions, assets, and resources;
 - d. Develop a COOP Multi-Year Strategy and Program Management Plan;
 - e. Develop, approve and maintain department COOP Plans for headquarters and all subordinate divisions of the agency;
 - f. Coordinate intra-department COOP Planning efforts and initiatives with policies, plans, and activities related to critical infrastructure protection;
 - g. Train department staff;
 - h. Participate in periodic inter-department COOP exercises to ensure effective interagency coordination and mutual support; and
 - i. Coordinate with IA HLSEM Division and other appropriate elements of State Government upon execution of COOP Plans.

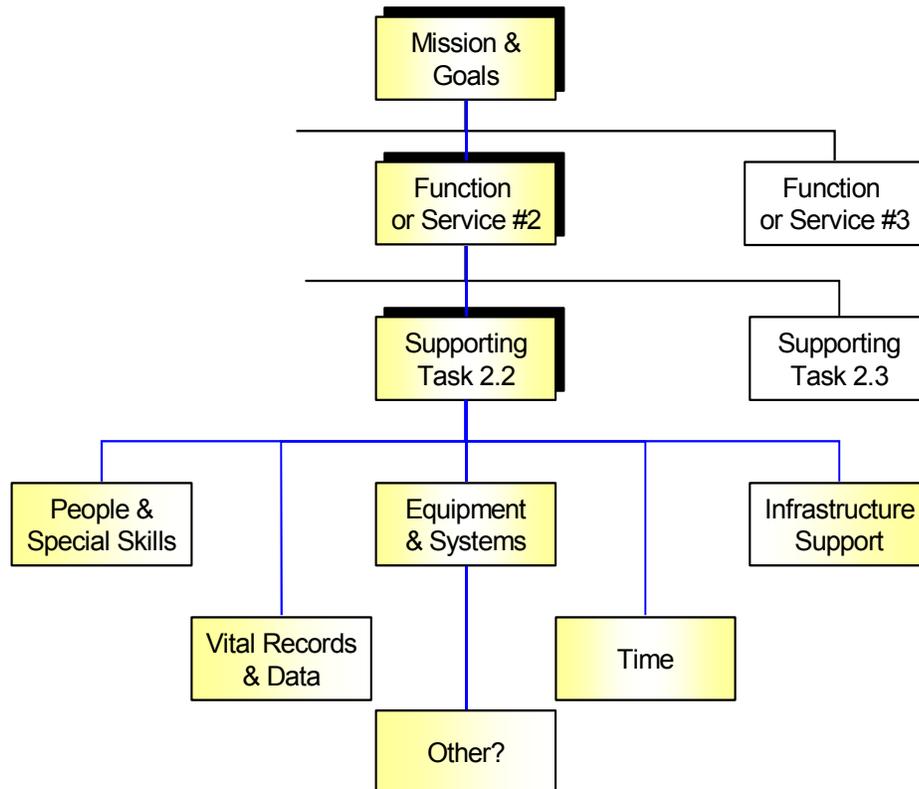
E. PLANNING REQUIREMENTS FOR ALTERNATE WORK FACILITIES

(see Appendix B)

SECTION V – ESSENTIAL FUNCTIONS AND/OR CRITICAL SERVICES

After organizing the Continuity of Operations (COOP)/ Continuity of Government (COG) team and identifying resources for COOP/COG Planning, the first step in developing a COOP/COG Plan is identifying the department's essential functions, identifying their associated key personnel and supporting critical systems/processes that must be sustained for at least thirty days following a disruption. Essential functions encompass those critical areas of business functions that must continue even in the event of an emergency. In other words, they are those functions that must be performed to achieve the department's mission and that are provided to the public, other departments or other State and Federal agencies. Each essential function, in turn, is supported by critical tasks that must be accomplished to fulfill the requirements of the function. Subsequently, each supporting task requires personnel & special skills, equipment & systems, infrastructure, vital records and data, and time to accomplish each task. The diagram below depicts the hierarchy of department missions, goals, functions, supporting tasks and their associated support elements.

Diagram 2 – Example Hierarchy of Essential Functions



Identifying a department's essential functions requires an intimate understanding of the incorporated operations. Although all functions are important, each departmental activity does not qualify as an essential function that must be sustained in an emergency for thirty days. Thus, the key to identifying essential functions is the department's mission. Therefore, essential functions are defined as those functions that enable State Government's departments to provide vital services, exercise civil authority, maintain the safety and well being of the citizens, and sustain the industrial and economic base in an emergency that must be conducted within the first 30 days following a crisis or emergency.

A. PRIORITIZED LISTING OF ESSENTIAL FUNCTIONS

The ultimate goal of the COOP Implementation Plan is to provide for the continuance of essential operations in a coordinated fashion. This necessitates understanding and prioritizing what the department needs to get done, even in an emergency, and what resources, i.e., personnel, records, systems, equipment, time, etc., are required to continue essential department functions.

Essential functions are those organizational functions and activities that must be continued under any and all circumstances (0-30 days of a crisis or emergency). These functions are derived from the organization's overall missions, and when identified, should be prioritized to ensure the most critical functions are properly emphasized and resourced, as appropriate. Organizations should identify essential functions and determine which must be continued under all circumstances:

- i. Prioritized these essential functions;
- ii. Established staffing and resource requirements needed to perform these functions;
- iii. Integrated supporting activities to ensure that essential functions can be performed as efficiently as possible during emergency relocation; and
- iv. Developed a plan to bring additional functions on line as the situation and resources permit.

There is no one-way to identify a department's essential functions. However, the asset identification steps outlined below will serve as the standardized methodology used across all State agencies. This methodology focuses on the organization's functions and their criticality.

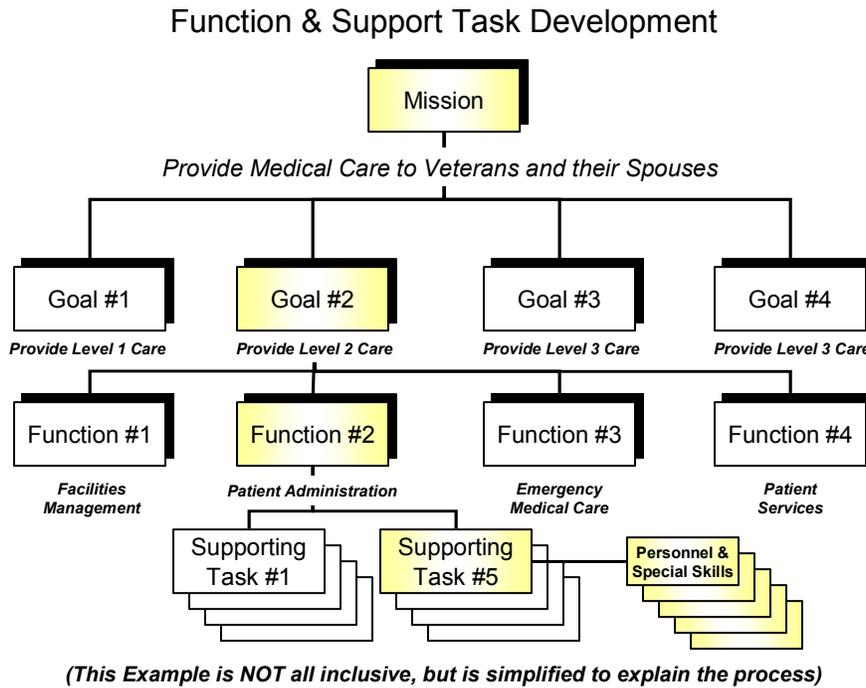
Each organization should have conducted a mission impact analysis to assist them in identifying assets, determined recovery time objectives and prioritized recovery objectives. Relevant sections of this mission analysis will be included in either the body of department COOP Implementation Plan or as an Annex to the organizational element's COOP Implementation Plan. Functions deemed non-essential, (31+ days) to immediate department needs, would be deferred until additional personnel and resources become available, or until such time that their continuance becomes essential.

B. PRIORITIZATION PROCESS

To aide in the identification and prioritization of essential functions, the following guidelines are provided:

- i. Identification of agency functions and/or critical services will address each of the following steps:
 - a. Agency Mission and Goals
 - b. Functions to Accomplish the Mission
 - c. Tasks to Accomplish Those Functions
 - d. Resources Required to Support Those Tasks

Diagram 3 – Example of Function & Support Task Development



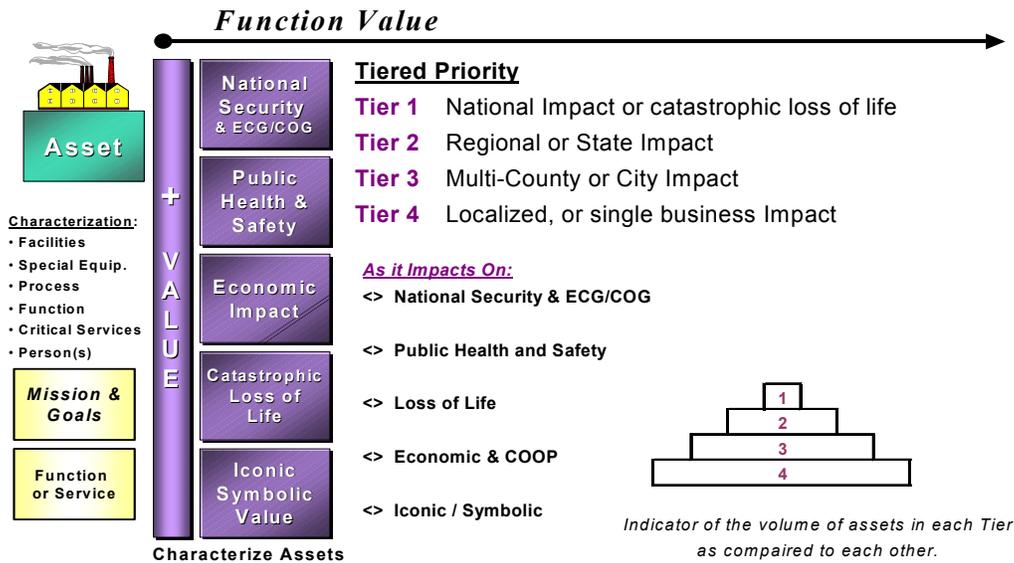
Note: Each department will evaluate its department mission and identify goals to accomplish its mission.

Worksheet – Essential Functions Metrics

Department Mission:	
Goal #	Description
1	
2	
3	

- ii. Valuation of agency functions and/or critical services will address each of the following steps:
 - a. National Security and COG
 - b. Public Health and Safety
 - c. Loss of Life
 - d. Economic and COOP
 - e. Iconic and/or Symbolic Value

Diagram 4 – Valuation of Functions



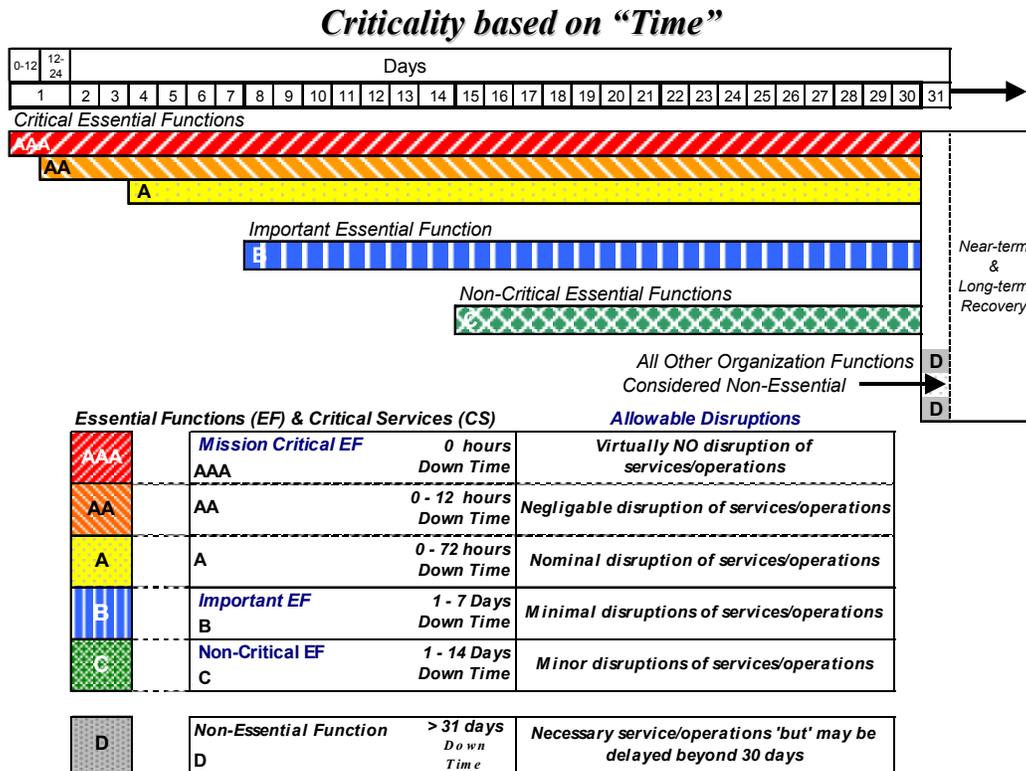
Note: We realize that all functions performed by State Government are important; we must be realistic as departments assign values (i.e. Tier Priority) to each function. Not every department will have Tier 1 functions, nor is not expected that all departments will have an equal number of Tier 1-2-3-4 functions. For standardization and uniformity of department plans, it is imperative that we realistically assign these values.

- iii. Prioritization of Agency Functions and/or Critical Services - Supporting activities should have been integrated into the plan to ensure essential functions can be performed efficiently and effectively at alternate sites. When completing Worksheets to aide in the identification and prioritization of essential functions, the following guidelines are provided:
 - a. Mission Critical Essential Function. The agency cannot function without this process.
 - AAA** – Immediate recovery required. No down time allowed. Requires implementing an in-place, fully equipped and staffed alternate site. No disruption of these essential functions.
 - AA** – Up to 12 hours to recover and resume these essential functions, but requires an installed, in-place, functional alternate site which can be staffed and functional within four hours, or same day recovery that can be set up anywhere (hotel room, home, etc.).
 - A** – 12 hours up to 72 hours to recover and resume these essential functions that require designated personnel, equipment and/or facilities to operate.
 - b. Important Essential Function. The agency can operate at a degraded level, but not without difficulty. Important essential functions must be continued following the first 3 days of a crisis or emergency.
 - B** – 72 hours up to 7 days to recover and resume these essential functions.

- c. Non-critical Essential Function. The agency can operate without this process for the first 2 weeks following a crisis or emergency. However, these non-critical essential functions must be recovered at that point to minimize disruptions to operations over the near-term.
 - C**—14 to 30 days to recover and resume these essential functions.
- d. Non-essential Function. The agency can operate without this function for the near term, but must be performed at some point in the future (31+ days). Those non-essential functions in this category are not considered in the COOP Plan. However, these non-essential functions must be recovered at some point to minimize disruptions to operations over the long-term. For the purposes of this plan, non-essential functions will be listed for reference only; COOP Planning will only focus on those essential functions requiring continuance in the first 30 days of a crisis or emergency. non-essential functions and tasks will be incorporated into agency long-term recovery plans.
 - D** – 31+ days without recovery or continuance of these functions. These tasks and functions will be resumed at some point in the future in accordance with long-term recovery plans. Diagram 5 depicts the timeline associated with each priority code.

The diagram below, *Prioritization Scheme Based On Time*, indicates the methodology that an agency's functions will be prioritized on, based on the time that your organization can go without this function or service without serious consequences, violations of law, breach of contracts, etc.

Diagram 5 – Prioritization Scheme Based On Time



- iv. The form depicted below is a sample form that departments may use to list all identified functions, assign values, criticality codes, impact of failure and the potential costs of continuing each function at the alternate facility. The use of this form will allow departments to organize and track those functions.

Diagram 6 – Sample Form for Listing Consolidated & Prioritized Department Functions

Priority	Tier	Criticality	Function	Department	Impact of Failure	Potential Costs
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

- v. Identification of tasks and support elements for each function and/or critical service. When identifying support elements for each task, you will identify those people & special skills, equipment & systems, infrastructure, vital records & data, time and other elements required supporting the tasks associated with accomplishing each function. The form depicted below, is a sample form that departments may use to list all identified functions, associated tasks and support elements for each.

Diagram 7 – Essential Function Matrix

Function #1					
Task	People & Special Skills	Equipment & Systems	Infrastructure Support	Vital Records & Data	Other Requirements
1.1					
1.2					
1.3					
1.4					
Function #2					
Task	People & Special Skills	Equipment & Systems	Infrastructure Support	Vital Records & Data	Other Requirements
2.1					
2.2					
2.3					
2.4					

Department planners will use the same process for each function identified. Appendix A provides detailed worksheets for completion of these forms.

The approach the State of Iowa will use in COOP and COG involves three phases. 1) Pre-planning, the phase we are currently in and have discussed in preceding sections, 2) Execution of COOP and/or COG Plans, and 3) Reconstitution and return to normal operations. Phases 2 and 3 will be discussed in following sections.

C. STATE CONSOLIDATED AND PRIORITIZED LISTING OF ESSENTIAL FUNCTIONS

<This section will be finalized upon receipt, consolidation and prioritization of department listings of Essential Functions>

Diagram 8 – State Prioritized Listing of Essential Functions

Priority	Tier	Criticality	Department	Function	Impact of Failure
1		AAA			
2					
3		AA			
4					
5		A			
6					
7		B			
8					
9		C			
10					

This section will be completed once all departments have submitted their listings of essential functions and the State has prioritized them.

Note: All functions identified as non-essential, criticality code **D** will not be addressed in this planning document. Those non-essential functions are to be addressed in department near-term and long-term recovery plans.

SECTION VI – CONCEPT OF OPERATIONS

This section will address the three primary phases of a Continuity of Operations (COOP) Plan: Activation and Relocation, Alternate Facility Operations, and Reconstitution and Return to Normal Operations (Restoration). The fourth phase listed at the end of this section, Reconstitution and/or Long-term Recovery, will not be discussed here, as it covers the period after the thirty day window COOP planning requirement.

Incidents could occur with or without warning and during duty or non-duty hours. Whatever the incident or threat, the COOP Plan will be executed in response to a full-range of disasters and emergencies, to include natural disasters, terrorist threats and incidents, and technological failures. Without warning, the process becomes less routine, and potentially more serious and difficult. The ability to execute the COOP Plan following an incident that occurs with little or no warning will depend on the severity of the incident's impact on the physical facilities, and whether personnel are present in the building or in the surrounding area.

A. PHASE 1: ACTIVATION AND RELOCATION

- i. Warning/Intel Background and COOP Alert - Emergencies, or potential emergencies may affect the ability of an agency HQs office to carry out essential functions. Based upon initial notification of an incident, the following are scenarios that could mandate the activation of the COOP Plan.
 - a. The building is closed to normal business activities as a result of an event (whether or not originating in the building) or credible threats of action that would preclude access or use of the building and the surrounding area.
 - b. The area is closed to normal business activities as a result of a widespread utility failure, natural disaster, significant hazardous material incident, or civil disturbance. Under this scenario there could be uncertainty regarding whether additional events such as secondary explosions, after shocks, or cascading utility failures could occur that require activation of the COOP Plan.
- ii. Incident Alert
 - a. Initial notification of an incident or situation is expected to come directly from the Homeland Security Emergency Management (HLSEM) Division or a department staff member. Other potential sources of incident notification might be law enforcement, the fire department, a private security service and/or the news media, etc.
 - b. If you are the first employee to become aware of an emergency situation at the department work site it is important that you contact the members of the department management team and ERG about the emergency incident as soon as possible.
 - c. Once notified, they will begin emergency response activities and alert other members of the department management team and ERG. Initial attempts to contact the department management team and ERG should not exceed two hours. After that time, the management team and ERG leader should list the names of individuals that could not be contacted and assign someone else to continue the notification process and/or to temporarily assume the individuals assigned responsibilities.

- d. General Alert Goal: All affected staff, visitors and others who interact with your agency are to be properly notified that your department COOP Plan is in effect within two hours of initial notification.
- iii. Sample Incident Alert Procedures.
 - a. The following format is suggested for all individuals receiving/providing notification of an emergency incident or situation:
 - 1. If you receive a call notifying you of an emergency incident or situation, write down the message.
 - 2. Repeat the message back to the caller to verify its accuracy.
 - 3. Request that the individual making the notification meet the department management team and ERG at the incident site. Provide an estimated time of arrival. (If applicable)
 - 4. If you are the first person notified, contact department facilities management to verify the reported emergency incident or notification.
 - 5. Notify the department management team and ERG.
 - 6. Read the information received to each person you call, briefly stating the nature of the problem and the time of the reported incident. Do not speculate on injuries or damage to avoid possible confusion.
 - 7. Instruct each person you contact to proceed to the pre-determined emergency meeting site or other designated location. Determine each person's estimated time of arrival.
 - 8. Instruct all individuals contacted to avoid making comments to news media, customers, vendors, etc. An official department-designated spokesperson will provide the news releases to the press, news media, etc.
 - 9. Give instructions to each contacted individual as to what is expected of them, (e.g. report to the emergency response site, stand by for further instructions, etc.). Activate only the employees needed immediately and prepare a notification list and contact schedule for other individuals if required.
 - 10. Maintain a record of all calls attempted and completed. Report the notification results to the department Management Team and ERG.
 - b. Departments may add or modify current alert/notification procedures as necessary.
- iv. Notification Guidelines: The notification process is intended to allow personnel to transition smoothly to an alternate site and continue the execution of essential functions across a wide range of potential emergencies. Notification should include the following:
 - a. An announcement of COOP Plan activation that directs ERG staff members to report to the alternate site; and
 - b. Instructions for time of movement, reporting, and transportation details. See Appendix D and E for agency contact/notification rosters.

- c. All Team Leaders and Team Members have been assigned call tree responsibilities that should be followed during the emergency notification. The department Management Team and ERG will determine if department sites that perform time-sensitive functions should be notified and a disaster situation declared based on the preliminary assessment of the situation.
- d. If the emergency notification procedures are initiated, each team leader will be responsible for contacting their alternate team leader and team members with specific instructions. If the team leader is not available, the alternate team leader will assume the team leader's responsibilities.
- e. In the event the alternate team leader is also not available, the department management team will assign someone to complete the notifications until the primary or alternate team leaders become available and resume their responsibilities.
- f. It is important that all key personnel be notified of the disaster as soon as possible to begin business resumption operations. The Employee/Contractor Notification List has the telephone numbers for the essential personnel to be notified in predetermined sequence.
- g. Additionally, specific instructions must be prepared for the following:
 - 1. Organization Leadership
 - 2. COOP Designated Personnel (ERG and specialty teams)
 - 3. Non-COOP Personnel
- v. COOP Threat Conditions and Potential Responses
 - a. The department director may refer to the threat conditions and potential responses identified in the Iowa Emergency Response Plan when assessing an emergency or disruptive situation to determine whether COOP activation is required. These threat conditions are based upon a credible threat as identified by state and federal law enforcement agencies. The department specific COOP plans or the Capitol Complex Evacuation Plan, in whole or in part, may be activated, as required, if an emergency or disruptive situation meets one or more conditions outlined in the Iowa Emergency Response Plan.

Diagram 9 – Example COOP Threat Conditions and Potential Responses

Threat Condition Criteria	Potential Response actions
A credible threat has been confirmed. There is a high probability of an attack.	Place the State COOP ERG on alert if the threat is non-specific. Conduct daily situation report briefings. Review Devolution of Control plans.
An imminent threat has been confirmed. There is an extreme risk of an attack.	On-Order - activate the State COOP ERG if the imminent threat is specific to the Des Moines Metropolitan Area and implement Devolution of Control and Direction procedures.

- b. Decision Process for Activation - Triggers and Circumstances: Each department Director will determine the 'internal' decision making process for activation of COOP actions based on threat information, as discussed above.
- c. At this point, we need to reiterate the decision making process for the implementation of COOP/COG Plans, as discussed in Section IV.D. *"It is assumed that no department or separate agency will direct the implementation of*

their respective COOP/COG Plans without coordination with the Homeland Security and Emergency Management Division and approval of the Governor.

- vi. Implementation of Emergency Response Plans. Without repeating existing emergency response plans, Department COOP/COG Implementation Plans should include reference to, and reinforcement of, existing response plans. Additionally, emergency response plans must be prepared for each alternate work location identified. (As appropriate, copies of alternate site response plans should be posted in Appendix M).
 - a. Following the notification of the emergency incident or situation, a team of key department personnel, the management team and ERG, will first assemble at the pre-determined meeting site and immediately begin to assess and evaluate the altered business environment for the department.
 - b. The primary objectives of the department ERG are:
 - 1. To establish an immediate and controlled department presence at the incident site;
 - 2. To conduct a preliminary assessment of incident impact, known injuries, extent of damage and disruption to the department's services and business operations;
 - 3. To notify the department management team and ERG;
 - 4. To determine if and/or when access to the department facilities will be allowed; and
 - 5. To provide the department Management team and ERG with the facts necessary to make informed decisions regarding subsequent recovery activity.
 - c. It must be noted that response to an emergency does not necessarily or automatically translate into the declaration of a disaster and the implementation of a full resumption operation.
 - d. Activation of the department disaster recovery portion of the COOP Plan requires significant expenditures of time, personnel and financial resources. The department management team and ERG will determine whether or not the expenditure of resources is warranted and to what extent they are justified based on the information and recommendations provided by the management team and ERG.
 - e. The objectives for the Department during emergency response are as follows:
 - 1. Complete emergency response, notification and mobilization duties as directed by the department management team;
 - 2. Ensure the department management team is contacted and apprised of situation's status and activity;
 - 3. Obtain reports of personnel injury or related matters from facilities or security and/or local authorities;
 - 4. Perform assessment(s) and evaluation(s) until the extent of impact or damage can be determined;
 - 5. Document the results of the preliminary assessment(s) and evaluation(s) and submit the report to the department management team with

- recommendations to terminate the emergency response activities or activate subsequent plan operations; and
6. Terminate or expand/extend the operation as directed by the department management team.
- vii. Implementation of Relocation Plan. Department Directors are responsible for providing detailed guidance on how the department COOP Plan will be implemented and the specific procedures to follow. One of the most critical steps in this process is the establishment of a department command center to facilitate the flow of information and resumption of essential functions. Key points to consider are:
- a. A Command Center headquarters will be established if management decides to continue and escalate the situation from emergency response to a COOP event. The site for the Command Center headquarters site should be identified in advance. Initial activities performed at the Command Center are described below:
 1. If the department facility can be accessed, further assessments and evaluations of the on-site conditions, the damage impact and extent of the emergency incident/situation will be completed.
 2. Use of the Command Center may be confined to management meetings and the cancellation of the resumption operation if the facility (e.g., work areas, fixed assets, files, equipment, voice communications, etc.) are unaffected and the emergency incident/situation problems can be resolved without major impact to service delivery.
 3. If the information about the emergency incident/situation problems is inconclusive, the Command Center will be used as a meeting site until the assessments are completed.
 4. If the emergency incident/situation is such that the resumption operation needs to be continued or further escalated, and/or a disaster declared, the Command Center should be organized and the appropriate support and resumption teams notified and activated as required.
 - b. Once department management team and the ERG establish an initial alternate facility Command Center, the flow of personnel, supplies and equipment may commence.

B. PHASE 2: ALTERNATE FACILITY OPERATIONS (HOT OR COLD SITE)(NEAR AND FAR SITES)

- i. Establishment of an Alternate Facility. Each department will have identified both a near and a far-site work facility that will provide the necessary support of their essential functions. The requirements for identification, designation, and certification of alternate work sites are located in Section IV, paragraph E of this document. In planning for the occupation of alternate sites, departments should consider the following:
 - a. As soon as possible, following their arrival at the alternate operating facility, members of the ERG Staff will begin providing support for the following functions:
 1. Conduct appropriate security, safety, and health assessments for suitability prior to beginning movement;
 2. Monitoring and assessing the situation that required the relocation;

3. Monitoring the status of department personnel and resources;
 4. Assess requirements for additional personnel – will augment with department non-COOP personnel or from another organization;
 5. Prepare to assume responsibility for continuing essential functions;
 6. Reporting the status of operations to other state components and the SEOC;
 7. Planning and scheduling relocation site operations; and
 8. Preparing and disseminating instructions and reports as required.
- b. Essential items and data should be pre-positioned, if feasible, at designated alternate operating facilities instead of being carried in a COOP kit. ERG members may be at home when the order to deploy is received and access to the COOP kits may be difficult or impossible.
 - c. COOP Kits. Department Directors are responsible for providing guidance to their employees on the requirement for and the contents of these kits, which may contain such items as software, databases, publications, laptop computers, office supplies, extension cords, etc. (see Appendix J for examples).
- ii. Reception, Receiving and Personnel Accountability. Positive personnel and equipment accountability throughout all phases of COOP implementation is of utmost concern; especially if the emergency occurs without warning, during duty hours. The department management team and the ERG play a vital role in the transition of operations from the primary site to the alternate site. The alternate facility Command Center should be organized to track the following functions, at a minimum, during the relocation phase and establishment of the alternate facility:
 - a. Personnel accountability
 - b. Equipment inventory
 - c. Space utilization
 - d. Emergency response plans for the alternate facility
 - e. Safety and security
 - f. Reports
 - g. Public information
 - h. Ability of the Department to support HLSEM during another emergency
 - i. Other requirements unique to each department
- iii. Interoperable Communications Connectivity (Radio, IT, phone, fax, email, intra-net, inter-net, secure, non-secure, messaging systems, video-conferencing, and notification systems – NAWS, EAS, etc.). It is imperative that divisions ensure that unique or critical information system requirements are considered in planning and, if appropriate, are identified as capabilities to be provided by support organizations at the alternate operating facility. All telecommunications and information support requirements will be detailed in individual agency COOP Implementation Plans and be fully coordinated with the Director, Department of Administrative Services (DAS) and the COOP POC for DAS. Consideration should be given to the use of alternate types of communication (e.g. HF

radio, satellite phone service, etc.). Departments shall maintain all necessary and up-to-date files, documents, computer software and databases required to carry out essential functions as listed below.

- a. Internal
 - b. External
 - c. Government
 - d. Public
 - e. Media
- iv. Vital Records and Databases. One of the objectives of the COOP Plan is to ensure the protection of vital records, regardless of media type, that are needed to support essential functions under all emergency conditions. Categories of these types of vital records and databases may include:
- a. Emergency Operating Records. Vital records, regardless of media, essential to the continued functioning or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments and related records of a policy or procedural nature that provide agency staff with guidance and information resources necessary for conducting operations during any emergency, and for resuming formal operations at its conclusion.
 - b. Legal and Financial Rights Records. Vital records, regardless of media, critical to carrying out an organization's essential legal and financial functions and activities, and protecting the legal and financial rights of individuals directly affected by its activities. Included are records having such value that their loss would significantly impair the conduct of essential agency functions, to the detriment of the legal or financial rights or entitlements of the organization or of the affected individuals. Examples of this category of vital records are accounts receivable, contracting and acquisition files, official personnel files, Social Security, payroll, retirement and insurance records, and property management and inventory records.
 - c. The department Director provides overall guidance and oversight for the protection of vital records to support the performance of essential functions under any emergency or potential emergency.
- v. Pre-positioning of Equipment and/or Supplies. Without appropriate planning, essential data maintained at the departments' primary facilities might not be available to ERG members at the alternate operating facility. Departments will ensure that databases and other references supporting your essential functions are pre-positioned at alternate operating facility, carried with deploying personnel, are made available through an automated data backup process or are archived on a COOP server located at a pre-designated location.
- vi. Security and Access Control Requirements. Security of the alternate work facility remains a priority during the implementation of COOP Plans and follow-on activities. Physical security (including access control), operational security and IT/Cyber security procedures must be carried forward to your alternate work site.
- vii. As appropriate, press, news media, outside customers, vendors and other service providers are notified by an official spokesperson from department that has been temporarily relocated.

- viii. Critical Infrastructure Support (required / on-hand / needed). Departments must coordinate with the appropriate State, local or private agency for the requisite infrastructure support needed at the alternate work sites. Additionally, Memorandums of Agreement (MOAs) should be developed between departments and with the supporting organizations that may provide the following:
 - a. Facilities and Utilities (electric, gas, water, fuel oil, etc.)
 - b. Communications (voice and data transmission) – (a summary of communications requirements is also found in Appendix C: Information Technology Support requirements.
 - c. Equipment and/or Systems
 - d. Facility Specific Emergency Response Plans

Worksheet – Summary of Facility and Infrastructure Requirements at Alternate Facilities

Alternate-Site Location:	Required:
Structure / Facilities	
Utilities	
Equipment and/or Systems	
Facility Specific Emergency Response Plans, equipment (Health and Safety items)	

Also depicted in Appendix C: Information Technology Support requirements

Worksheet – Summary of Department Interoperability Communications Requirements:

Service	Current Provider	Specifications	Alternate Provider	Special Notes
Voice Lines				
Fax Lines				
Data Lines				
Cellular Phones				
Pagers				
Email				
Internet				
Blackberry				
Instant Messenger				
PDA Wireless Communications				
Handheld Radios				

- ix. Resumption of Essential Functions at Alternate Operating Facility. Transition of responsibilities to an alternate operating facility is a critical element in the continuance of essential functions. Detailed procedures on when the transfer is effective, who makes the decision, and how is it communicated must be developed.
 - a. The following procedures must be developed for the transfer of essential functions to the alternate operating facility:

1. Conditions required for transfer;
2. Notification and authentication of transfer of essential functions; and
3. Reporting requirements once transfer is complete.

C. PHASE 3: RECONSTITUTION AND RETURN TO NORMAL OPERATIONS

The Phase III section explains the procedures for returning to normal operations – a time phased approach is most appropriate. This section will also include procedures for returning to the primary facility, if available or procedures for acquiring a new facility through the Department of Administrative Services (DAS). Notification procedures for all employees returning to work must also be addressed. Finally, the conduct of an After Action Report (AAR), to determine the effectiveness of COOP plans and procedures should be considered.

In addition to maintaining a Command Center that provides sufficient support for resumption and restoration operations, objectives of the Restoration stage are to:

- i. Maintain an adequate level of support team coverage to support all business operations;
- ii. Maintain adequate technology teams coverage to sustain information processing operations;
- iii. Maintain communication with the continuity organization;
- iv. Clean and/or decontamination of the building;
- v. Repair and/or restore the building or construct/acquire of a new facility;
- vi. Replace the contents of the building; and
- vii. Coordinate the relocation and/or migration of business operations, support and technology departments from temporary facilities to the repaired or new facility.

Within 24-hours of an emergency relocation to an alternate site, and when local officials allow access to primary work facility, the department Director, in coordination with HLSEM, will initiate operations to salvage and recover department assets located at the primary work-site. Prior to this activity, approvals may be required from local and Federal law enforcement authorities that may be involved in crisis management. Reconstitution procedures will commence when the department director or other authorized person ascertains that the emergency situation has ended and is unlikely to recur. Factors to consider during this phase of operations should include:

- i. The restoration stage builds on the assessments performed in the emergency response stage with the goal of returning the impacted facility to its pre-disaster capabilities. In circumstances where the original facility was assessed as beyond repair, this stage will involve the acquisition and outfitting of new permanent facilities. The restoration process will include the assessment of:
 - a. Environmental contamination of the affected areas
 - b. Structural integrity of the building
 - c. The damage to furniture, fixtures, equipment, and systems
- ii. Once this determination, in coordination with other State, local or Federal authorities is made, one or a combination of the following options may be implemented, depending on the situation:
 - a. Continue to operate from the alternate operating facility;

- b. Begin an orderly return to the primary operating facility building and reconstitute the department HQs element from remaining resources, upon a decision by the department Director, or other authorized person that the department HQs Office building can be reoccupied; and
- c. Begin to establish a reconstituted department HQs office in some other facility in the area.

Additional guidance for ceasing operations at the alternate operating facility should address the following:

- i. Deactivation – Decision process.
- ii. Verification and notification procedures.
- iii. Transfer of essential functions from alternate operating facility to newly designated facility procedures.
- iv. Implementation of relocation plan. (See Appendix H for maps and routes).
 - a. Conduct appropriate security, safety, and health assessments for suitability prior to beginning movement;
 - b. Reception, receiving and personnel accountability at newly designated facility; and
 - c. Recovery of supplies and equipment from alternate operating facility.

D. RECONSTITUTION AND/OR LONG-TERM RECOVERY (31+ DAYS)

(Refer to Department Reconstitution and/or long-term recovery plans)

SECTION VII – COORDINATING INSTRUCTIONS

The Governor or his/her designee has the ultimate executive decision making authority for state continuity of operations. In the absence of the Governor or designee, the Administrator of the Homeland Security and Emergency Management (HLSM) Division will maintain executive decision making authority for the implementation of continuity of operations plans. In coordination with the those elements just mentioned, the Department Directors or their designees shall initiate the activation of the department Continuity of Operations (COOP) Plans and shall assume overall direction and control responsibilities with respect to their department plan.

A. RESPONSIBILITIES FOR PLAN IMPLEMENTATION

Within each department, key personnel will be assigned specific responsibilities. Positions that should be covered, at a minimum, are addressed below:

- i. Department Head (elected or appointed)
- ii. Depending on the size and complexity of your agency, COOP Coordinators will be established at the department, division, and bureau level. The COOP/Continuity of Government (COG) Coordinator is responsible for:
 - a. Notifying the State Emergency Operations Center of the activation of this plan;
 - b. Notifying department staff of report to work information and the status of the primary work-site office buildings via a telephone call tree;
 - c. Implementing this COOP Plan;
 - d. Maintaining of agency individual COOP fly-away kits of essential office materials;
 - e. Maintaining and reviewing of this COOP Plan annually at minimum;
 - f. Providing a current copy of the agency's Emergency Relocation Group (ERG) Roster and Contact Information to the State COOP coordinator;
 - g. Ensuring all staff maintains awareness of the department's COOP Plan through periodic training, discussion and exercises;
 - h. Maintaining the currency of contact information; and
 - i. Preparing an After Action Report (e.g. "lessons learned", etc.) of our department's COOP operations and effectiveness of plans and procedures as soon as possible, identifying areas for correction and developing a remedial action plan. The After Action Report is an information activity that takes place after disaster response or an exercise simulating a disaster. Its purpose is to identify problems and possible solutions for improving future responses.
- iii. Special COOP Teams, as part of the ERG:
 - a. Headquarters Management Team
 - b. Evacuation Team. Designated personnel supporting Emergency Response Plans and the evacuation of the primary operating facility.
 - c. Relocation / Movement Team
 - d. Site Preparation and Receiving Team (SP&R)

- e. Operations, Control, Communications and Computers Team
- f. Administration and Logistics Planning Team (A&L)
- g. Salvage and Recovery Team (S&R)
- h. Security Coordination Team
- iv. Coordinator for Non-COOP Personnel
- v. Department personnel who are relocated under this plan are known collectively as the Emergency Relocation Group (ERG). Additional considerations for ERG membership are:
 - a. Primary and Alternate Worksite space and support capabilities are limited; therefore, the membership of the COOP ERG must be restricted to only those personnel who possess the skills and experience needed for the execution of department essential functions.
 - b. Personnel who are not designated ERG members may be advised to move to some other State facility or duty station, or may be advised to remain at or return home pending further instructions.
- vi. Primary Responsibilities of ERG Special Teams
 - a. The primary responsibilities of the ERG Special Teams are:
 - 1. To protect employees and information assets until normal business operations are resumed;
 - 2. To ensure that a viable capability exists to respond to an incident;
 - 3. To manage all response, resumption, recovery and restoration activities;
 - 4. To support and communicate with department staff and other locations within the organization;
 - 5. To accomplish rapid and efficient resumption of time-sensitive technology and business operations;
 - 6. To ensure all insurance and regulatory requirements are satisfied;
 - 7. To exercise impact resumption and recovery expenditure decision; and
 - 8. To streamline the reporting of resumption and recovery progress between the teams and both department HQs management team.
 - b. During Emergency Response, the primary responsibilities of the ERG are:
 - 1. To establish an immediate and controlled department presence at the incident site;
 - 2. To conduct a preliminary assessment of incident impact, known injuries, extent of damage and disruption to the enterprise's services and business operations;
 - 3. To determine if and/or when access to the alternate facility will be allowed; and

4. To provide executive management with the facts necessary to make informed decisions regarding subsequent resumption and recovery activity.
- c. During Resumption, the primary responsibilities of the ERG are:
1. To establish and organize a control center for the resumption operations;
 2. To notify and appraise team leaders of the situation;
 3. To mobilize and activate the operations teams necessary to facilitate the resumption process; and
 4. To alert employees, vendors and other internal and external individuals and organizations.
- d. During Recovery, the primary responsibilities of the ERG are:
1. To prepare for and/or implement procedures to facilitate and support the recovery of less time-sensitive business functions;
 2. To mobilize additional ERG special teams and support organizations as required; and
 3. To maintain information flow regarding the status of recovery operations among employees, vendors and other internal and external individuals and organizations.
- e. During Restoration, the primary responsibilities of the ERG are:
1. To manage salvage, repair and/or refurbishment efforts at the affected facility;
 2. To prepare procedures necessary to the relocation or migration of business functions to the new or repaired facility;
 3. To implement procedures necessary to mobilize operations, support and technology department relocation or migration; and
 4. To manage the relocation/migration effort as well as perform employee, vendor and customer notification before, during and after relocation or migration.

The following example and worksheets depict the method departments will utilize in determining the membership and roles and responsibilities of your ERG. The exact make-up of your team will depend on the size and complexity of your agency.

Diagram 10 – Example: Potential ERG Staff Composition:

ERG Special Teams	Composition
HQs Management Team	The Department Director, the Deputy Director, COOP planners, and the Public Affairs Officer
Response and Movement Team	Agency Emergency Response planner, operations specialist, logistics specialist, agency OEP planner
Site Preparation and Receiving Team (SP&R)	Admin specialists, logistics specialists, communications specialist, operations chief, security specialist, contracting/purchasing specialist
Operations, Control, Communications and Computers Team	Operations specialists, communications specialists, and IT systems specialists
Administration and Logistics Planning Team (A&L)	Admin specialists, logistics specialists, communications specialist, and IT systems specialists
Site Preparation and Receiving Team (SP&R)	Admin specialists, logistics specialists, communications specialist, operations chief, security specialist, contracting/purchasing specialist
Salvage and Recovery Team (S&R)	Logistics and property management specialists
Security Coordination Team	Security planning specialist
Coordinator for Non-COOP Personnel	Personnel specialist

As you complete the planning template, there is a worksheet for each ERG special team so that team members can be identified.

Worksheet – Team Roles and Responsibilities

ERG Special Teams	Responsibilities
HQs Management Team	<i>Departments to fill in Planning Template</i>
Response and Movement Team	
Site Preparation and Receiving Team (SP&R)	
Operations, Control, Communications and Computers Team	
Administration and Logistics Planning Team (A&L)	
Salvage and Recovery Team (S&R)	
Security Coordination Team	
Coordinator for Non-COOP Personnel	

Worksheet – ERG Membership

Break-out Within the Department	Total Number of Personnel Assigned as Team Member
Department HQs	<i>Departments to fill in Planning Template</i>
Division	
Bureau	
Total:	

Departments must fully delineate the membership and the roles and responsibilities of the ERG. The ERG is the key element in the successful implementation of COOP Plans.

B. ADDITIONAL COORDINATION REQUIREMENTS

In the Planning Template, checklists are provided to allow for additional planning and the identification of additional resources to support the following:

C. SECURITY (PHYSICAL, OPERATIONS, AND CYBER):

With particular emphasis on security and the designation of special security teams, security planning must be developed for the following:

- i. During Activation and Relocation
- ii. Alternate Facilities
 - a. Internal
 - b. External / Buffer Zone
- iii. During Reconstitution and Return to Normal Operations
- iv. Coordination for External Security Support Requirements

D. LOGISTICS (REQUIRED / ON-HAND / NEEDED):

Logistics planning is paramount to the successful implementation of your COOP Plan. Areas of special interest are listed below and should be addressed appropriately.

- i. Food and Water. Food service and potable water.
- ii. Fuel. Fuel requirements for vehicles, generators, heating systems, etc.
- iii. Billeting. Sleeping arrangements as required.
- iv. Medical. First aid and medical support requirements.
- v. Transportation. To the extent possible, COOP and special team members, if activated, are encouraged to use Privately Owned Vehicles (POVs) to commute to alternate operating facility. The department director is responsible for coordinating additional transportation requirements for the movement of supplies and equipment to the alternate work site.
- vi. Health and Safety of Personnel. Coordination for fire extinguishers, smoke alarms, carbon-monoxide detectors, and other health and safety materials.
- vii. Vehicle Control. Establish traffic control and parking at the alternate facility.

E. ADMINISTRATION AND HUMAN CAPITAL

In coordination with the responsible State agency, develop protocols and procedures for supporting and informing your employees on the functions listed below.

- i. Dismissals or closures used in emergency situations that prevent most employees from reporting for work may require:
 - a. Designation of emergency employees or special categories of employees (e.g., COOP, COG, Special teams etc.);
 - b. Status and pay of COOP/COG personnel;

- c. Status and pay of Non-COOP/COG personnel;
- d. Adjustments in work schedules;
- e. Use of special compensation (pay and leave) tools and flexibilities;
- f. Benefits issues; and
- g. Hiring procedures.
- ii. Temporary staffing arrangements, etc.
- iii. Protocols for designating and activating special needs employees;
- iv. Family support plans; and
- v. Employee roles and responsibilities

F. VITAL RECORDS AND DATABASES

i. Identify Records

The protection of vital records begins with the identification of those records that are “vital”: those that support the essential functions of a department. While important records exist that should be protected, the COOP Plan will address only the protection of vital records that support essential department functions. These vital records represent a small fraction of the records most departments retain. Only the individual department can determine which of its records are necessary for essential functions. Vital records can be in any form, but are usually either paper documents stored in file cabinets or electronic files stored in a computer.

Departments should seek assistance from the state records or museum agency. It may have resources and assistance available for instituting day-to-day records management systems as well as storage facilities that could be used for vital documents.

ii. Types of Records

a. According to the *General Services Administration Model COOP Plan*, there are two basic types of vital records:

1. Emergency Operations: Documents and records that directly support emergency operations of an organization in the continuance of their essential functions.
2. Examples: Emergency operating procedures (EOPs), standard operating procedures (SOPs), general guidelines and procedures, technical manuals and key COOP Plans.

b. *Legal and Financial*: Records and documents that ensure an organization carry out its legal and financial responsibilities and protect the legal and financial rights of the public, that directly supports an organization in the continuance of their essential functions.

1. Examples: Documents designating powers and authorities, line of succession, codes, regulations, policies, and other important elements.

iii. Protect Vital Records and Documents

Vital records and documents should be protected through preventive measures that ensure documents and the systems on which they are stored are not lost. According to the Federal Emergency Management Agency (FEMA), “to the greatest extent possible, organizations should back-up electronic files, pre-position duplicate vital records at the alternate facility and update vital records on a regular basis.”

Extensive protective measures can sometimes be prohibitively expensive. Departments should consider some of the following options for protecting and backing up vital records.

- a. Replicate department server at an off-site facility;
 - b. Scan all paper records and store on a secure computer;
 - c. Convert vital records to microfilm, digital, etc.;
 - d. Duplicate all records at the time of their creation with backup tapes;
 - e. Store duplicate records in fireproof files, vaults, and safes at the primary facility and, if possible, at an off-site facility; and
 - f. Protect offsite facilities from all hazards.
- iv. Vital Systems and Information Technology (IT)

Just as records are vital to a department’s essential functions, the systems and databases that contain and process records are essential for departments to maintain critical services. Departments should determine which systems support essential functions and work with information technology departments to develop protective measures, backup systems and recovery plans.

IT departments will usually have disaster recovery plans and protective measures already in place. These programs, however, may be inadequate for the requirements of COOP Plans, as many do not account for all hazards or were targeted specifically at problems associated with the Year 2000 (Y2K) turnover. COOP Planners should incorporate IT personnel into the COOP Planning process, especially when determining essential functions and the resources required to support them.

- v. Support Essential Functions

Vital records and documents must be available to support essential functions during a disruption in normal operations. Records and systems may need to be transported to an alternate facility if they are not already stored there; takeaway kits developed in the COOP relocation plan should contain vital documents. The following table, taken from FPC 65, is useful for recording the type and location of vital records:

Worksheet – Vital Records

Vital File, Record, or Database	Form of Record (e.g., hardcopy, electronic)	Pre-Positioned at Alternate Facility	Hand Carried to Alternate Facility	Storage Location(s)	Maintenance Frequency

G. PUBLIC INFORMATION AND INFORMATION OPERATIONS.

Keeping the general public informed of COOP Plan implementations, controlling rumors and dispelling fear are essential functions in themselves for State Government. Your ability to maintain command of the situation is intrinsically linked to your ability to communicate to the citizens of Iowa. At a minimum, each department must plan for the following:

- i. Media Announcements on Department Operating Status
- ii. Targeted Announcements / Information Summaries to:
 - a. Local Government (city and county)
 - b. Business Sector
 - c. General Public
 - d. Clergy
 - e. Others as Necessary

SECTION VIII – LEADERSHIP & CONTINUITY OF GOVERNMENT (COG)

Every employee is important to the achievement of the agency's mission. However, like critical processes and services, each essential function has associated key personnel and positions that are necessary to the Continuity of Operations (COOP). These individuals represent strategic vital points in department management and authority and underscore the essential functions that must be carried out. Succession planning and management ensures the continued effective performance of an organization by making provisions for the replacement of individuals in key positions. Succession planning and management is part of COOP Planning with special focus and emphasis on '*Constitutional*' positions in Continuity of Government (COG) Planning, which seeks to maintain leadership, both elected and appointed in the event of an emergency. Together, COOP and COG Planning consists of three key components: orders of succession, delegation of authority, and devolution of control and direction.

A. ORDERS OF SUCCESSION

When an organization is missing a person who is in a key position, it is obvious. Decisions cannot be made, needs cannot be satisfied, authorities cannot be executed, etc. Basically, if there is an absence in a key position, essential functions are not being fully met. By examining each organization in this manner, key positions are recognized by the consequences of a vacancy or anticipated vacancy.

Vacancies in key positions can occur for a variety of reasons, and many times, vacancies are the result of non-emergencies, such as illnesses, leave of absences, overseas travel, and temporary assignments. Thus, the delegation of authority component to a COOP/COG Plan requires a list of conditions or events that will trigger the delegation of authority for that key position. Activation of any delegation of authority should be tied to the level of threat, category of emergency, or cause of vacancy. The plan should also detail how the designee will assume authority and how department staff will be notified of the delegation. When planning, specifically identify requirements for the following:

- i. Elected Officials
- ii. Appointed Officials
- iii. Key Personnel in Support of Essential Functions

Developing orders of succession for key positions is intertwined with determining delegation of authority in an emergency. In fact, one of the steps in delegation of authority planning outlined previously, "*is to document to whom authorities should be delegated*," is essentially development of orders of succession. In developing these authorities, you should write to the 'position' and not to the individual – never use names in your plans.

A comprehensive COOP/COG Plan will include an order of succession for each key position. Although orders of succession for key leadership and management positions within the organization, both at headquarters and in satellite facilities, are necessary for a comprehensive COOP/COG Plan, orders of succession are not limited solely to management positions. All organizations have non-management personnel who, because of their function in the organization, are critical to the accomplishing the organization's goals and performing essential functions.

It is preferable to identify key positions by the position title and not by name of the person currently in the position, because individuals may move through a single position causing plans to be re-written, while positions tend to stay the same and only the individuals change resulting in only the contact rosters being updated. Consequently, the orders of succession by key positions will need fewer revisions over time. Nevertheless, there may be a few individuals who have very specific knowledge, skills, and/or experience that make them key players in the organization; thus, they may have to be named specifically.

When identifying successors, COOP/COG Planners should consider the organizational and geographic proximity of the potential successor to the key position. A potential successor who is part of the same department or division (organizational proximity) is a good choice, because they already have an understanding of the key position. However, make sure that there is at least one successor in the order of succession, who is not located in the same office or facility in case the vacancy is due to a catastrophic event in a particular geographic location. Order of Succession: A formula that specifies who will systematically fill a position if it is vacated. Order of Succession planning should consider the following factors:

- i. Geographic Proximity
- ii. Organizational Proximity
- iii. Skills
- iv. Experience
- v. Knowledge & Training
- vi. Personality

While the focus should be upon the skills, experience, knowledge, and training necessary for holding a specific key position, personality, such as a particular individual's ability to work under pressure, may also be considered. An order of succession also requires sufficient depth. In other words, there may very well need to be more than one or two named successors in most circumstances.

To achieve the best results, all key positions should first be identified. The authority to be delegated, identified in the previous two worksheets, should already give some idea of which positions and personnel are key positions and personnel. However, there may be some key positions or personnel that have not been identified by looking solely at delegation of authority.

Finally, once key and essential positions have been identified, using the worksheet below, identify their successors.

Worksheet – Successors

Position	Incumbent	Successor #1	Successor #2
<i>Departments to fill in Planning Template</i>			

B. DELEGATIONS OF AUTHORITY

Delegation of authority in COOP/COG Planning ensures rapid response to an emergency situation that requires COOP/COG Plan activation.

There are two categories of authority that should be addressed in a delegation of authority plan: emergency authority and administrative authority. Emergency authority refers to the ability to make decisions related to an emergency, such as deciding whether to activate a COOP/COG Plan, deciding whether to evacuate a building, or determining which personnel should report for their duties. In an emergency requiring COOP/COG Plan activation, COOP team members are often the natural choice for assuming emergency authority. However, COOP team members are not the only candidates for such authority.

Administrative authority refers to the ability to make decisions that have effects beyond the duration of the emergency. Unlike emergency authority, administrative authority does not have a built-in expiration date. Such decisions involve policy determinations and include hiring and

dismissal of employees and allocation of fiscal and non-monetary resources. Statutory or constitutional law may limit the delegation of this kind of authority, and agency counsel may need to be consulted when determining this type of delegation of authority.

Delegation of authority planning involves the following tasks:

- i. Identifying which authorities can and should be delegated;
- ii. Describing the circumstances under which the authority would be exercised, including when they would become effective and terminate;
- iii. Identify limitations of the delegation;
- iv. Pre-delegating authority for making policy determinations and decisions at headquarters, field levels, and other organizational locations, as appropriate for COG and the continued functioning of constitutional government under all circumstances;
- v. Documenting to whom authority should be delegated; and
- vi. Ensuring officials and key personnel are trained to perform their emergency duties. When planning, specifically identify the following:
 - a. Principals
 - b. Successor #1
 - c. Successor #2

After identification of the authority to be delegated and establishment of rules and procedures, the next step is to identify limitations on the delegation. These limitations are often restrictions on the duration, extent or scope of the authority. The type of authority to be delegated will have inherent limitations. For example, emergency authority generally only lasts as long as the emergency exists. An individual with emergency authority may only make decisions regarding a single division or geographic area, or the designee may only make decisions necessitated by the emergency.

When delegating emergency authority, an agency ought to consider delegating authority among the key personnel in such a way to ensure that each has equitable shares of the duly established leadership. An agency should also provide training to officials on performance of their emergency duties. When delegating administrative authority, an agency also needs to examine laws and regulations governing the agency. Delegation of administrative authority is generally limited to upper management, but may be extended to middle management and non-management as necessary and allowed by law. Consult agency counsel for advice on delegation of administrative authority.

In this task, using the sample worksheet below as a model, identify and describe the authority, and list those conditions that will trigger delegation of authority.

Worksheet – Example Authority to Be Delegated

Authority to be Delegated	Type of Authority	Position Holding Authority	Triggering Conditions
Close the office(s)	Emergency authority	Department Director	When conditions make coming to or remaining in the office unsafe for staff and customers (Level III or above emergency).
Authorize emergency expenditures	Emergency Authority	Comptroller; Agency Head	When the agency head or designated official has declared an official emergency (Level III or above emergency)
Make budgetary proposals or amendments	Administrative Authority	Agency Head; Comptroller	When the agency head and comptroller are not available (Level V emergency).
Activate COOP Plans	Emergency Authority	Department Director	When a crisis or emergency causes the primary work facility to be unsafe or unusable and in coordination with the Governor's office.

Complete the next worksheet for each authority identified above, *Authority to Be Delegated*. Indicate the Responsible Position on the line below and then list each authority to be delegated and any rules for the delegation that may exist, outline procedures for the delegation including notification of relevant staff of the transfer of power, and limitations on the duration, extent and scope of the delegation, etc.

Worksheet – Example Delegation of Authority: Rules, Procedures and Limitations

Responsible Position	Authority to be Delegated	Rules	Procedures	Limitations
Department Director	Activate COOP Plans	Must get approval by Governor or designee	A crisis or emergency is declared with authorization for the department Director, or his/her successor to activate in full, or in part, COOP Plans.	Deviations from the published COOP Plan must be coordinate with HLSEM
<i>Departments to fill in Planning Template</i>				

C. DEVOLUTION OF CONTROL AND DIRECTION

Devolution of control and direction must be addressed under two basic scenarios. First, there has been an increase in threat levels and departments will take steps to mitigate risk to COOP and government officials, and second, there has been a catastrophic event in which an organization responsible for an essential function has been rendered ineffective and total transfer of their functions to another organization is required. Departments must determine those steps necessary in both scenarios to ensure the continuation of essential functions. Departments may use the worksheets below to assist in your planning.

- i. Actions Taken during escalation in Threat Level

Worksheet – Example Devolution of Control and Direction Potential Responses

Essential Functions	Threat Condition Criteria	Actions to Protect Leadership & Key Individuals
1	A credible threat has been confirmed. There is a high probability of an attack.	1) Geographical separation of Principle and 1 st Successor. 2) Enhance physical and operational security for all successors.
2	An imminent threat has been confirmed. There is an extreme risk of an attack.	1) Separate and isolate Principle and successors 2) Further enhance physical and operational security for the Principle and all successors.
3		
<i>Departments to fill in Planning Template</i>		

ii. Actions Taken during a Catastrophic Event Rendering the Agency Ineffective (unable to perform essential functions)

Worksheet – Transfer of Control and Direction during a Catastrophic Event

Essential Function	Transferred to:	Gaining POC
1		
2		
3		
<i>Departments to fill in Planning Template</i>		

SECTION IX – TEST, TRAINING AND EXERCISES

All department/division/bureau staff must be educated on their role in Continuity of Operations (COOP) and Continuity of Government (COG) Plan execution. Exercises that simulate various disruptions and practice COOP/COG Plan execution must be conducted, and backup systems and processes must be tested for effectiveness.

A. EDUCATION AND TRAINING REQUIREMENTS

To ensure that all department personnel are familiar with and prepared for implementation of the department COOP plan, employees will receive training on COOP plan implementation as part of new employee orientation and at a minimum, annually, or as significant changes are made to department COOP plans and procedures. To facilitate exercising the COOP plans and procedures, training is offered by the Iowa Homeland Security & Emergency Management Division. HLSEM offers periodically courses in exercise design, execution and evaluation for state employees.

B. FREQUENCY OF EDUCATION AND TRAINING PROGRAMS

To ensure that all personnel are familiar with and prepared for COOP operations, each Division/Bureau/Office should conduct the following events on a monthly, quarterly, annual, or other timeframe based upon department capabilities and needs.

Note: Through coordination with Homeland Security Emergency Management (HLSEM) Division, the State and Department “Minimum” requirements will be determined.

Worksheet – Frequency of COOP/COG Education and Training Programs

Frequency	Type of Education or Training Program
Annually	<i>Departments to fill in Planning Template</i>
Quarterly	
Semi-annually	
Monthly	
Other	
Note: Through coordination with HLSEM Division, the State and Department “Minimum” requirements will be determined.	

Worksheet – Example Summary of COOP/COG Education and Training Programs

Frequency	Type of Program	Methods	Audience	Estimate Cost
Annually	Orientation	Seminar	Senior Management	\$5,000
Annually	Refresher	Seminar	All Employees	\$2,000
Quarterly	Sustainment	Workshop	COOP ERG	\$12,000
Quarterly	Proficiency	Workshop	Specialty Teams	\$18,000
Monthly	Enhancement	Distance Learning	Specialty Teams	\$10,000

C. TEST, EXERCISE, AND AUDIT REQUIREMENTS

In order to keep the department COOP/COG Plan up to date, our goal is to participate/conduct a tabletop exercise annually and a functional/full-scale exercise every 4 years. Exercises take many forms and are often the only avenue for realistic measurement of the effectiveness of training and the adequacy of plans, policies and procedures. Each department will consider and plan for the appropriate types of tests, exercises and audits, as shown below. A complete listing of the types of exercises is outlined later in this section.

- i. Announced Tests and/or Drills
- ii. Unannounced Tests and/or Drills
- iii. Audits (to include financial, equipment, procedure)

D. FREQUENCY OF TESTS, EXERCISES, AND AUDITS

To ensure that all department personnel are familiar with and prepared for COOP procedures, each Division/Bureau/Office will conduct tests, exercises, and audits on a monthly, quarterly, annual, or other timeframe based upon department capabilities and needs, to assess the viability and reliability of equipment and systems, facilities and procedures. Exercise design, methodology, and frequency were developed in accordance with the Exercise Program Guidance maintained by the Iowa Homeland Security & Emergency Management Division. . As such, the following types of tests, exercises, and audits will be conducted within the department.

Worksheet – Frequency of COOP/COG Tests, Exercises and Audits

Frequency	Type of Test, Exercise, or Audit
Annually	<i>Departments to fill in Planning Template</i>
Quarterly	
Semi-annually	
Monthly	
Other	
Note: Through coordination with HLSEM Division, the State and Department "Minimum" requirements will be determined.	

E. EXERCISE EVALUATION METHODOLOGY

- i. Exercises are evaluated simulations and activities and provide a process for continuous improvement. Exercise evaluation is the systematic examination of the effectiveness of the department emergency preparedness program.
- ii. Exercise Evaluation refers to the act of reviewing or observing and recording exercise activity or conduct, applying the behavior or activity against exercise objectives and noting strengths, weaknesses, deficiencies, or other observations. Department exercise evaluations will address each exercise objective to answer the following questions:
 - a. Was the objective met?
 - b. If yes, what were the results?
 - c. If no, what changes are necessary to achieve the objective?
- iii. Determining how the exercise objectives were met allows evaluators to answer important questions such as:

- a. Are parts of the plan in need of revision?
- b. Is current equipment adequate?
- c. Is additional training required?
- d. Are additional resources necessary?
- e. Are staffing levels adequate?
- f. Is the communication system vulnerable to overload?
- g. How effectively did independent agencies cooperate to resolve the problem?
- h. Was the alternate work facility adequate?
- i. Did the relocation plan work?
- j. Were timetables met?
- k. Were estimates for required materials and supplies accurate?
- l. Are performance measures associated/linked to the Universal Task List (UTL), the Federal Document that lays out overall emergency capabilities for the entire nation? It is available from HLSEM.

F. AFTER-ACTION REVIEWS

The production of an After-Action Report (AAR) is vital to the cyclical process of improvements to COOP/COG Plan. The AAR documents assess events and functionality of the plan while capturing the findings identified by exercise evaluators, participants and observers. The AAR process also identifies any improvements needed to the plan, who is responsible for those improvements and a date when those improvements will be made. An AAR will be prepared for each tabletop, functional and full-scale exercise conducted; as well as, upon the conclusion of a real-world event causing the activation of COOP or COG Plans.

- i. The AAR provides a historical record of findings and forms the basis for refinements to plans, policies, procedures, training, equipment and overall preparedness.
- ii. AARs describe the exercise scenario, player activities, preliminary observations, major issues and recommendations for improvements. Additionally, the following actions will be completed:
 - a. At the conclusion of an actual event, the department Division/Bureau will provide a copy of the AAR to the department COOP/COG Coordinator no later than 30 days from the completion of the event or exercise for internal agency distribution.
 - b. The Department COOP/COG Coordinator will retain the AARs for a period to be determined by the department.
- i. Division/Bureau AARs will be consolidated at the department level and a copy of the report provided to HLSEM no later than 60 days from the completion of the event or exercise.

G. EXERCISE TYPES¹

Exercises take many forms and are often the only avenue for realistic measurements of the effectiveness of training and the adequacy of plans, policies and procedures. Exercises are evaluated activities that demonstrate the integrated capabilities of resources. The building-block concept ensures that each exercise conducted builds on the results of the previous exercise.

The building block approach, as shown in the diagram below, employs progressive steps in exercise design, complexity, and execution, and allows for the appropriate training and preparation to occur. This building block model depicts an exercise progression that begins with discussion-based exercises (Seminars through Games), followed by operational field-based exercises (Drills through Full-Scale Exercises). These particular exercise types provide a logical progression of preparedness through increasing size, complexity, and stress factor, while allowing for significant training opportunities that complement, build upon, and directly lead to one another effectively. Finally, this exercise model allows for a cyclical approach to exercises, which provides a sustainable program to achieve overall preparedness.

Building Block Approach



- i. Discussion-Based Exercises
Discussion-based exercises are normally used as a starting point in the building block approach to the cycle, mix, and range of exercises. Discussion-based exercises include Seminars/Orientations, Workshops, and Tabletop Exercises (TTXs). These types of exercises typically highlight existing plans, policies, mutual aid agreements, and procedures. They are exceptional tools for familiarizing agencies and personnel with current or expected departmental, agency, or jurisdictional capabilities. Facilitators and/or presenters usually lead the discussion, keeping participants on track while meeting the objectives of the exercise.
- ii. Operations-Based Exercises
 - a. Operations-based exercises represent the next iteration of the exercise cycle; they are used to validate the plans, policies, agreements, and procedures

¹ *Homeland Security Exercise and Evaluation Program, Volume 1: Overview and Doctrine*, U.S. Department of Homeland Security, Office for Domestic Preparedness, January 2003.

solidified in discussion-based exercises. Operations-based exercises include Functional (FE) and Full-Scale (FSE) exercises. They can clarify roles and responsibilities, identify gaps in resources needed to implement plans and procedures, and improve individual and team performance. Operations-based exercises are characterized by actual actions, such as a simulated operation or command center or the actual movement of people and resources from one place to another. Functional exercises are usually limited to the activities of an operations center or command post. Full-Scale exercises involve real persons doing real activities and moving equipment or materials as they would be utilized in an actual situation.

Worksheet – Discussion and Observations-Based Exercises

Type	Characteristics	Purpose
Discussion Exercises:		
Seminars/Orientation	Low stress. Informal. No time constraints. Effective for large or small groups.	Provide overview of strategies, plans, policies, procedures, protocols, etc.
Workshops	Low stress. No fault. Work group sessions. No time constraints.	Collecting/sharing information. New/different perspectives. Team building. Test new ideas.
Tabletop (TTX)	Problem-solving. Brainstorming. Constructive discussion around multi-agency issues. Narrative. “What-if”. Minimum Stress.	Replay of an actual occurrence. Address problem areas. Clarify conflicting roles. Evaluate plans and procedures.
Operations-Based Exercises:		
Functional (FE)	Simulation to the maximum degree Real-time Use of messages “do” vs. “talk”	Evaluation of any complex activity Test of seldom used resources
Full-Scale (FSE)	Mobilization of personnel and resources. Multiple functions.	Test coordinated response. Public awareness.
From the Exercise program Guidance, Iowa <i>Homeland Security Exercise and Evaluation Program (IHSEEP)</i> .		

SECTION X – COOP/COG PLAN MAINTENANCE

This Continuity of Operations (COOP) and Continuity of Government (COG) Plan is a living document. As problems emerge, situations change, gaps become apparent and requirements are altered – the plan must be adapted to remain useful and up-to-date. Accordingly, all plans and procedures (responsibility, steps, and appendices) must be revised and updated permanently after changes are made. This process involves the development of a remedial action plan and a complete review and revision of the plan as outlined below.

A. REMEDIAL ACTION PROCESS

A remedial action process will help the State and Department planning teams identify, illuminate, and correct problems with the State and department's plans. A remedial action process captures information from exercises, post-disaster critiques, self-assessments, audits, administrative reviews, and the like, which may indicate that deficiencies exist. It then brings members of the planning teams together to discuss the problem, and to consider and assign responsibility for remedies. Remedial actions may involve revising planning assumptions and operational concepts, changing organizational tasks, or modifying organizational implementing instructions (SOPs). They also may involve refresher training on performance of tasks assigned by the ERG to an organization's personnel. The final component of a remedial action process is a means to track and follow up the assigned actions.

B. REVIEW AND REVISION

Each Department will establish a process for review and revision of the plan. The review will be a recurring activity, and accomplished on at least an annual basis. As appropriate, significant issues and problems identified through a remedial action process and/or the annual review will provide the information needed to allow our planning team to make the necessary revision(s) to the plan. It will be tested, at a minimum annually, or at a greater frequency as determined by the department Director and division/bureau Chief. Its contents will be reviewed on an annual basis to ensure that this action plan identifies specific requirements and activities as determined by the key individuals in the department.

C. UPDATING PLANS AND PROCEDURES

Accordingly, all plans and procedures (responsibilities, steps, rosters, appendices, etc.) must be revised and updated permanently after any changes are made. At a minimum, Department COOP/COG Plans will be reviewed and updated as follows:

- i. Post-exercise
- ii. Post-event
- iii. Annually

Departments will utilize the Record of Change to post all changes and updates to their plans.

D. COOP/COG REVIEW TEAM

COOP Plans must be reviewed annually or as required to remain accurate and current. The COOP Review Team will perform this review. The COOP Review Team is tasked to determine whether the emergency capabilities of the Departments are sufficient and whether the COOP Plans meet all essential factors identified in Executive Orders, Presidential Decision Directives, Federal Preparedness Circulars, and applicable legislation. A review cycle has been established to update and review internal directives and external rules and regulations for information that

may impact the COOP Plans. The review cycle will take place during November of each calendar year.

Other responsibilities of the COOP Review Team include:

- i. Maintaining overall plan currency and readiness, to include procedures, equipment, systems, personnel, and rosters;
- ii. Addressing and resolving COOP Plan policy issues;
- iii. Advising the Administrator on COOP-related matters;
- iv. Coordinating among related plans;
- v. Conducting training, testing, and exercises; and
- vi. Updating plans annually to incorporate lessons learned from testing and exercises as well as any actual events that occurred during the year.

Example – COOP Review Team

Special Team	HQ/Division/Bureau	Office Contact Information
HQs Management Team		
Response and Movement Team		
Site Preparation and Receiving Team (SP&R)		
Operations, Control, Communications and Computers Team		
Administration and Logistics Planning Team (A&L)		
Salvage and Recovery Team (S&R)		
Security Coordination Team		
Coordinator for Non-COOP Personnel		

Example – Plan Maintenance Schedule

Activity	Tasks	Frequency
Plan update and certification	<ul style="list-style-type: none"> • Review entire plan for accuracy • Incorporate lessons learned and changes in policy and philosophy • Manage distribution of plan updates 	Annually (November of each calendar year or as needed)
Maintain and update orders of succession	<ul style="list-style-type: none"> • Obtain names of current incumbents and designated successors • Update delegation of authorities 	Annually
Checklists	<ul style="list-style-type: none"> • Update and revise checklists • Ensure annual update/validation 	As needed Annually
Update rosters for all positions	<ul style="list-style-type: none"> • Confirm/update information on rostered members of emergency teams 	Quarterly
Appoint new members of COOP team	<ul style="list-style-type: none"> • Qualifications determined by ERG COOP leaders 	As needed

	<ul style="list-style-type: none"> • Issue appointment letter and schedule member for orientation 	
Maintain alternate worksite readiness	<ul style="list-style-type: none"> • Check all systems • Verify access codes and systems • Cycle supplies and equipment as needed 	Quarterly
Review and update supporting MOUs	<ul style="list-style-type: none"> • Review for currency and new needs • Incorporate changes, if required • Obtain signature renewing agreement or confirming validity 	Annually
Monitor and maintain equipment at alternate sites	<ul style="list-style-type: none"> • Train users and provide technical assistance • Monitor volume/age of materials and assist users with cycling/removing files 	Ongoing
Train new members	<ul style="list-style-type: none"> • Provide orientation and training class • Schedule participation in all training and exercise events 	Within 30 days of appointment
Orient new policy officials and senior management	<ul style="list-style-type: none"> • Brief officials on COOP • Brief each official on his/her responsibilities under the COOP Plan 	Within 30 days of appointment
Plan and conduct exercises	<ul style="list-style-type: none"> • Conduct internal exercises • Conduct joint exercises with regions • Support and participate in interagency exercises 	Semiannually Annually Annually or as needed
Maintain security clearances	<ul style="list-style-type: none"> • Obtain, maintain, and update appropriate security clearances 	Ongoing

SECTION XI – PLAN DISTRIBUTION AND ACKNOWLEDGEMENT OF RECEIPT

This section provides a ‘*Record of Receipt*’ of State Continuity of Operations (COOP)/Continuity of Government (COG) Planning Guidance. Each department will develop a similar list for divisions and bureaus within your organizations as a ‘*Record of Receipt*’ for the Department COOP/COG Plan.

A. EXECUTIVE BRANCH

Worksheet – Record of Receipt

Agency	Printed Name	Signature	Date
Office of the Governor			
Office of the Secretary of State			
Office of the Auditor of State			
Office of the Treasurer of State			
Office of the Attorney General			
Office of the Secretary of Agriculture			
Department of Administrative Services			
Department of Agriculture and Land Stewardship			
Department for the Blind			
Department of Commerce			
Department of Corrections			
Department of Cultural Affairs			
Department of Economic Development			
Department of Education			
Department of Elder Affairs			
Department of Human Rights			
Department of Human Services			
Department of Inspections and Appeals			
Department of Management			
Department of Natural Resources			
Department of Public Defense			
Department of Public Health			
Department of Public Safety			
Department of Revenue			
Department of Transportation			

Department of Veteran's Affairs			
Department of Workforce Development			
Iowa Board of Regents			
Iowa Communications Network			
Iowa Civil Rights Commission			
University of Iowa Hygienic Lab			
Public Employment Relations Board			
College Student Aid Commission			
Iowa Public Employees Retirement System			
Iowa Finance Authority			
Iowa Veterans Home			
Parole Board			
Iowa Law Enforcement Academy			
IGOV Office of Drug Control Policy			

B. JUDICIAL BRANCH

Worksheet – Record of Receipt

Agency	Printed Name	Signature	Date
Judicial Branch			

C. LEGISLATIVE BRANCH

Worksheet – Record of Receipt

Agency	Printed Name	Signature	Date
Legislative Branch			

SECTION XII – APPENDICES

APPENDIX A:	ESSENTIAL FUNCTIONS SUPPORT METRICS
APPENDIX B:	METHOD FOR OBTAINING ALTERNATE FACILITIES
APPENDIX C:	INFORMATION TECHNOLOGY SUPPORT REQUIREMENTS
APPENDIX D:	AGENCY COOP STAFF CONTACT LIST
APPENDIX E:	AGENCY NON-COOP STAFF CONTACT LIST
APPENDIX F:	DECISION SUPPORT TEMPLATE
APPENDIX G:	CAPITOL COMPLEX COOP/COG PRIORITIES
APPENDIX H:	MAPS AND EVACUATION/RELOCATION ROUTES
APPENDIX I:	COOP BUILDING LOCATIONS AND FLOOR PLANS
APPENDIX J:	COOP DRIVE-AWAY KIT CHECKLIST
APPENDIX K:	AFTER-ACTION REPORT TEMPLATE
APPENDIX L:	CHECKLISTS
APPENDIX M:	EMERGENCY RESPONSE PLANS
APPENDIX N:	DEFINITIONS AND ACRONYMS
APPENDIX O:	COOP PLAN REVIEW CHECKLIST AND CERTIFICATION OF COMPLETION

APPENDIX A: ESSENTIAL FUNCTIONS SUPPORT METRICS

Each department, throughout the process of identifying and prioritizing its essential functions, will utilize the worksheets below.

Department: _____

- i. First Step – Delineate goals and associated functions to accomplish mission

Worksheet – Essential Functions Metrics

Department Mission:	
Goal #	Description
1	
2	
3	

Worksheet – Functions Metrics

Functions	Function Description
Goal #1:	
Function 1.1	
Function 1.2	
Function 1.3	
Function 1.4	
Goal #2:	
Function 2.1	
Function 2.2	
Function 2.3	
Function 2.4	

- ii. Continue this process for each identified goal.
- iii. Once you have completed each matrix identifying Goals with their supporting functions, tasks and support elements, you must now prioritize them based on the impact if the function is degraded or completely lost.
- iv. The Next Step – Categorize each essential function based on the impact of not continuing the function.
- v. Prioritized Functions (Rank order ALL identified functions) Tiered Rating: 1 – 2 – 3 – 4

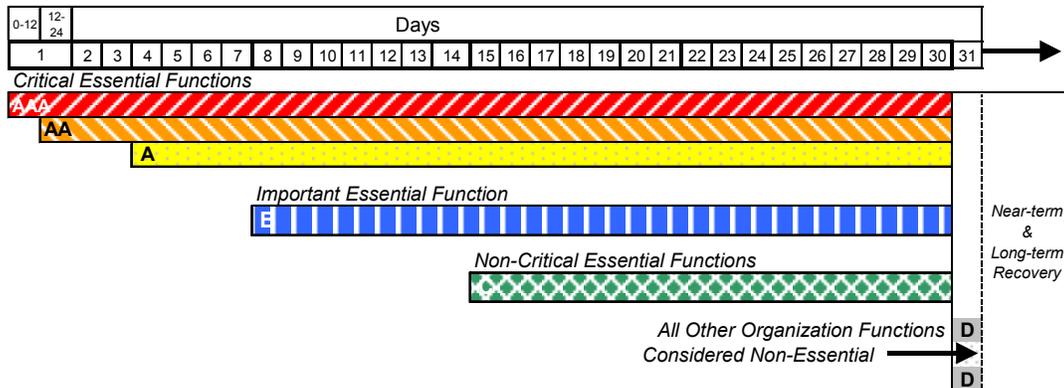
Note: We realize that all functions performed by State government are important; we must be realistic as departments assign values (i.e. Tier Priority) to each function. Not every department will have Tier 1 functions, nor is not expected that all departments will have an equal number of Tier 1-2-3-4 functions. For standardization and uniformity of department plans, it is imperative that we realistically assign these values.

Worksheet – Tier and Impact

Tier	Function	Impact if this Function is NOT Continued
1	# <u>Tiered Priority</u>	<u>As it Impacts On:</u>
	# Tier 1 National Impact or catastrophic loss of life	<> National Security & ECG/COG
2	# Tier 2 Regional or State Impact	<> Public Health and Safety
	# Tier 3 Multi-County or City Impact	<> Loss of Life
3	# Tier 4 Localized, or single business Impact	<> Economic & COOP
	#	<> Iconic / Symbolic

- vi. The Next Step — Rank order functions based on time. You must now prioritize each function based on the amount of time you can go without that function. In other words, what is the maximum amount of time allowed before bringing that function back on-line?

Diagram 12 – Rank Order Functions Based On Time



Worksheet – Criticality Codes

AAA – AA – A – B – C – D

Tier	Function	Maximum Time Allowed Before Bringing Function Back Online	Priority Code
1	#		
	#		
2	#		
	#		
3	#		
	#		
4	#		
	#		

- vii. You now have a detailed 'prioritized' list of all functions being performed by your department; their supporting tasks and required resources are next in the planning process.

- viii. The Next Step – Delineate Tasks required to accomplish each function identified above

Worksheet – Function-Associated Tasks

Goal #1	Associated Tasks
Function # 1.1	
Task 1.1.1	
Task 1.1.2	
Task 1.1.3	
Function # 1.2	
Task 1.2.1	
Task 1.2.2	
Task 1.2.3	
Function # 1.3	
Task 1.3.1	
Task 1.3.2	
Task 1.3.3	

- ix. Continue this process for each identified function
- x. Final Step - Delineate resources required to accomplish each task identified above.

Worksheet – Tasks and Required Support Elements

Function # 1.1:	
Tasks to Accomplish Function	Personnel and/or Special Skills
Task 1.1.1	
Task 1.1.2	
Task 1.1.3	

- xi. Next –

Function # 1.1:	
Tasks to Accomplish Function	Equipment and/or Systems
Task 1.1.1	
Task 1.1.2	
Task 1.1.3	

- xii. Next –

Function # 1.1:	
Tasks to Accomplish Function	Vital Records and/or Databases
Task 1.1.1	
Task 1.1.2	
Task 1.1.3	

xiii. Next

Function # 1.1:	
Tasks to Accomplish Function	Facilities & Infrastructure
Task 1.1.1	
Task 1.1.2	
Task 1.1.3	

xiv. Next

Function # 1.1:	
Tasks to Accomplish Function	Time Required to Perform Task
Task 1.1.1	
Task 1.1.2	
Task 1.1.3	

xv. Finally – Repeat the same process for the next identified functions and tasks

Worksheets – Tasks and Required Support Elements

Function # 1.2:	
Tasks to Accomplish Function	Personnel and/or Special Skills
Task 1.2.1	
Task 1.2.2	
Task 1.2.3	

Note: It is critical that you complete the entire process for all tasks associated with all identified functions. These become your “Requirements” documents. This is what you need to operate and to perform your essential functions.

APPENDIX A - TAB 1: CONSOLIDATED DEPARTMENT ESSENTIAL FUNCTIONS LISTING

On this worksheet, each department will consolidate their essential functions as indicated.

Department: _____

Worksheet – Consolidated Department Listing of Essential Functions

Priority	Tier	Criticality	Function	Dept HQs/Division/Bureau
1				
2				
3				
4				
5				
6				
7				
8				
9				

Complete the table by listing 'All' AAA, AA, A, B, and C category Essential Functions.

Note: Once all Departments have submitted their Department Consolidated Listings, the State will assemble a Consolidated and Prioritized State Listing of Essential Functions.

APPENDIX B: METHOD FOR OBTAINING ALTERNATE FACILITIES

Department of Administrative Services

General Services Enterprise

- i. General Discussion: This document was developed to provide Continuity of Operations (COOP) planners with a method for identifying alternate facility requirements, surveying potential locations, acquiring and modifying locations and documenting and updating information.
 - a. Concept of Essential Operations: The purpose of an alternate facility is to provide an organization a means of accomplishing its COOP mission essential functions in the event of an emergency or threat if the organization's primary location is uninhabitable. A thorough understanding of the agency mission, essential functions, the concept for deployment and operations at an alternate facility, communications connectivity requirements, and the resources allotted is essential.
 - b. Developing Alternate Facility Requirements: The alternate facility requirements are derived from the study of elements necessary to continue essential functions identified in the COOP. Careful consideration should be given to the feasibility of having essential employees, as well as others, telecommute from home. In this process, tradeoffs may have to be made. An alternate facilities requirements worksheet is provided in Annex B to assist in requirement's development.
 - c. Funding Constraints: Acquisition alternatives (e.g.; agency leases, co-location, Government owned) for alternate facilities span a broad cost spectrum. Low cost alternatives and specific alternate facilities requirements may be difficult to reconcile; COOP planners must understand an organization's internal funding mechanisms, and Department of Management's funding guidance.
 - d. Training and Exercise: COOP Plans for alternate facilities should consider the acquisition and documentation of training/exercise locations that closely replicate actual alternate facilities. An alternative to full deployment exercises is "table-top" exercises, which can test continuity of essential operations. The complexity of exercises is dependent on the resources available for the program.
 - e. Formal Agreements: Anticipate that formal agreements such as memorandums of understanding, leases, occupancy agreements and contracts will be part of securing the alternate facilities and COOP Planning processes. Plan to include Department of Administrative Services' (DAS) property management and legal review services in the process.
- ii. The Acquisition Process: The alternate facilities acquisition process can vary depending on the organization, its requirements and its mission. However, the following process elements should be standard in securing any alternate facility. It is important to clarify whether the planning process involves securing the alternate facility in the planning stage to be ready for future use, or identifying the alternate facility requirements necessary for selection after an event occurs, or both. The term alternate facility can include anything from a borrowed conference room for a few key people on a temporary basis, to a complete facility to house the entire function. All this is dependent upon the requirements identified within your COOP Plan. In most cases, it will probably be something in between depending on the circumstances of any given event and available resources. Plans should include provisions for a worst-case scenario.

- iii. Appendix B – Tab 1-A (Occupancy Considerations): In this phase, an agency should consider and select one of the following:
 - a. Finding existing available agency-controlled space
 - b. Establishing an agreement to co-locate with another agency
 - c. Participating in a joint-use alternate facility occupancy agreement through DAS
 - d. Contacting DAS to secure space for an individual agency to be held for the contingency
- iv. Appendix B – Tab 1-B (COOP Plan Requirements Formulation Worksheet): A worksheet is provided to help agencies determine the requirements and acceptable geographic areas. If you have already identified adequate alternative facilities, please skip to Tab 1-D (Alternate Facility Re-evaluation).
- v. Appendix B – Tab 1-C (Methods of Securing an Alternate Facility): The actual securing of an alternate facility includes a detailed survey of potential locations and an evaluation of whether essential operations requirements will be satisfied. MOUs may be used between State agencies where appropriate if the alternate facility space belongs to another State agency.
- vi. Appendix B – Tab 1-D (Alternate Facility Re-evaluation): Any alternate facility must periodically be reevaluated for conditions and functionality based on the COOP.
- vii. Appendix B – Tab 1-E (Alternate Facility Certification Form): Once your Department or Agency (D/A) Alternate Facility (AF) has been established, please complete the information below and transmit the document to the Department of Administrative Services, General Services Enterprise (DAS-GSE) Property Management, Hoover State Office Building – Level A, Des Moines, Iowa 50319.
- viii. Appendix B – Tab 1-F (Underutilized Space): This form is provided for agencies to report off-complex underutilized space that could be used by other agencies for alternate facilities. Providing this information to DAS will ease the identification of COOP alternate facilities process.

The information presented summarizes DAS's recommended methodology for securing alternate facilities. The specific application of these methods must necessarily be tailored to the individual organization's unique functions, requirements, operational plans and resources available.

APPENDIX B - TAB 1-A: OCCUPANCY CONSIDERATIONS

i. Existing Department-Controlled Space

Some departments may have, or know of, space that will be available for a reasonable length of time sufficient to designate it as their alternate facility. This may be vacant space controlled by the agency, or space currently utilized for another purpose within the agency (training facilities, conferencing facilities, field/regional offices, etc.).

These spaces should be set up to accommodate the emergency operation to allow for fast implementation of COOP activities. This can be done by pre-wiring and staging of resources within limits (e.g., Wire for telecommunications and data but do not activate the phone lines.).

ii. Co-locates with Another Department (within the same city, State, or geographical area)

Departments may be able to make arrangements to move in with another department temporarily (30 – 90 days with only emergency staffing), or to share otherwise available space with another department. In this instance, one department may be impacted by an emergency and one would not. The departments would need to establish a written agreement such as a Memorandum of Understanding (MOU), where the department with the emergency could have a certain number of workstations or space within the unaffected department (such agreements could be reciprocal if feasible). This space could be either open areas or it could be occupied space that could be made available during times of emergencies (training rooms, conference rooms, storage areas, telecommuting workstations, etc.). Any special requirements for security or other services should be addressed before the MOU is signed, so that both departments understand the potential impact on their operations.

iii. Participating in a Shared Alternate Facility Occupancy Agreement through DAS

This agreement would work like an insurance policy, where several agencies share the cost of occupying a facility on the premise that one (or some), but not all may need it at a particular time. Under this premise if only one (or some) should need to utilize the alternate facility, each would be able to get the necessary space based on their COOP. However if all participants should need to use the facility at the same time, each would have a minimum guaranteed space based on the percentage of funding contributed by each agency or based on the occupancy agreement through DAS. The minimum facility size would meet the maximum requirements of at least the largest and smallest participant in the agreement.

iv. Acquiring Independent Space to be Held Exclusively for an Alternate Facility

Although this may seem to be an expensive alternative, some agencies may find it necessary due to their mission or other circumstances. In this situation the new space would likely be only a small percentage of the currently occupied space based on minimum essential operations.

APPENDIX B - TAB 1-B: COOP PLAN REQUIREMENTS FORMULATION WORKSHEET

Alternate Facility Requirements

Department/Agency:

Agency Code:

Division/Bureau

Current Office Address

(Office to be relocated)

POC of Office to be relocated

Name:

Address:

Phone Number: () -

Fax Number: () -

E-mail Address:

POC – Telecommunications/Data:

Name:

Address:

Phone Number: () -

Fax Number: () -

E-mail Address:

Does your agency presently have an Alternate Facility Yes No

If yes, indicate Alt. Facility address:

If you need assistance in completing the form below, please contact the DAS-GSE Property Manager.

1. **Essential Functions.** Identify the mission-essential functions, in priority order, to be performed at the alternate facility.

Function	Square Feet
Priority #1	
Priority #2	
Priority #3	
Priority #4	
Total SF	

2. **Deployment Planning:**

- A. In what area must the AF be located? (Factors and elements to consider may include locating within a specified boundary to critical facilities, collocating with federal or county facilities, availability and cost consideration of communications to the facility, proximity to mass transit/ major highways, etc.)
- B. Considering the area designated above, how will employees access the alternate facility? (Private vehicles, agency arranged transportation, mass transit, etc.)
- C. Does cellular phone coverage limit the AF area of consideration? (See item 6)

3. **Alternate Facility Availability:**

- A. How soon after decision to deploy must site be available? (Number of hours/days)
- B. Identify Equipment/Supplies required at the alternate facility:
- C. Would tenting be acceptable as a temporary measure until more permanent space could be arranged? Yes No
- D. If certain requirements are a priority indicate them here in order of importance: (e.g., 1. Onsite Parking, 2. Telecommunications, 3. Location, 4. Security, 5. Proximity to Mass Transit/Major Highways or Critical Facilities)

Priority # 1

Priority # 2

Priority # 3

Priority # 4

4. Alternate Facility Description:

A. Number of Persons to be supported overall? (all shifts):

	Start Time	Finish Time	# Employees
First Shift (M-F)			
Second Shift (M-F)			
Third Shift (M-F)			
Saturday			
Sunday			

B. When this AF is activated, how many hours per day and days per week will it operate?

	Start Time	Finish Time
Monday – Friday		
Saturday		
Sunday		

C. Describe essential functions and number of personnel (per shift) in distinct areas (e.g.: Operations, Finance, Communications and Administration).

D. Include relational activities (e.g., Administration must have an adjoining work area to Finance). Include area (as required for conference rooms, computer rooms, medical treatment/first aid, storage, food services, lodging, etc.).

E. Identify furniture requirements (# of workstations, chairs, cabinets, tables, etc.).

F. If people must stay overnight at the site, indicate the following breakout:

Total: Males: Females:

G. If necessary, the number of meals to be served on site per day?
(One, two, or three per day).

5. Power/ Mechanical Requirements:

- A. Facility special electrical power requirements:
 - 1) Determine requirements for auxiliary or back-up power sources (generators).
 - 2) Determine fuel requirements.
 - 3) Determine requirements for multiple substations to the location.

- B. Equipment special electrical power requirements (e.g., computer system):
Describe electrical requirements to support equipment environment (NEMA configurations).

- C. Equipment define cooling requirements (e.g., computer system):
Define BTU load of all specialized equipment.

6. Telecommunications:

Describe the general requirements for telephone systems as they exist presently and as they would at the AF.

- A. Current Voice System:
 - 1. Name of Provider or Carrier?
 - Local Carrier
 - Long Distance
 - 2. Type and number of Lines?

	Current	Required at AF
Analog (modem/fax)		
Digital		
Voice Mail		

- B. Cellular Service:
 - Name of Service Provider(s):
 - Maintenance Agreements:

- D. Equipment Rental (Vehicles, Material Handling Equipment):
- E. Food and Lodging:
- F. Local post office availability:
- G. Will it be necessary to rent post office boxes?
- H. Department or General Merchandise stores:
- I. Building or Electrical Materials:
- J. Freight Services (Air or Motor Transport):
- K. Financial Services (Bank):
- L. Custodial/Trash disposal requirement:
- M. Other:

9. Security:

- A. Does security require sole tenant occupancy of space or allow for occupying a building with other tenants?
 Sole tenancy required Multiple tenancies acceptable
- B. Is secured storage for equipment required on site?
 Yes No
 If yes, please describe the requirement
- C. Describe requirements for physical and operations security to include armed and unarmed personnel, security fences, security system, card reader access, cleared area around the alternate facility, number of access/egress routes, exterior lighting, access control points, etc.
- D. Classified storage requirements Yes No
 If yes, please describe the requirement

10. **Other Considerations** for Alternate Facilities selection or modification. List any other relevant items affecting AF selection here:

APPENDIX B - TAB 1-C: METHODS OF SECURING AN ALTERNATE FACILITY

The actual securing of an alternate facility starts with the department's COOP. Using the department COOP Plan as the reference base, the DAS Alternate Facility Requirements document needs to be completed. This document takes information from department COOP Plans and helps to guide the user in determining what the department needs in its specific alternate facility.

With the DAS Alternate Facility Requirements Form is completed, the department has its base needs set for the alternate facility. (It is important to remember that this facility is anticipated to be operating only the minimum essential operations for a limited period of time. Your normal daily operations will resume at normal levels and office environment as soon as possible.) The department then needs to determine if they have space available that could be used as an alternate facility (See Annex A). If the department has space to be used as an alternate facility, it needs to be noted on the Alternate Facility Requirements Form.

If the submitting department does not presently have an alternate facility identified, the department needs to identify what method of occupancy consideration the department wants to pursue in a letter to DAS. After review of the information, and as necessary, a recommendation for the minimal requirements for an alternate facility will be sent back to the department identified point of contact.

a. Agency Owned or Leased:

A department may use one of its own facilities located away from the primary office in a nearby city or State. This facility can be another office (Regional or Field) or training/conferencing facility, so long as there is enough space and the normal operation can be displaced without impacting the department's essential operation.

b. Memorandum of Understanding (MOU):

A Memorandum of Understanding (MOU) can be set up between departments to allow for utilization of space within the other departments during an emergency. The MOU must contain as a minimum the legal address, specific areas within the facility to be occupied, any security requirements, funding or reimbursement agreements, a non appropriation clause, length of occupancy, and the requirement for prompt notification of any changes that would impact the agreement such as space alterations or availability.

ii. DAS/GSE Secured

a. Request for space:

DAS will require each department to submit a completed copy of the Alternate Facility Requirements form, which appears as Appendix B of this document.

b. State-Owned or leased space:

DAS will evaluate the availability of state-owned space and/or leased space depending on the agency's requirements identified in the Alternate Facility Requirements form. If leased space is justified, negotiations and acquisition will be performed by DAS utilizing the Standard State Lease Agreement.

APPENDIX B - TAB 1-D: ALTERNATE FACILITY RE-EVALUATION

- i. Purpose. Successful execution of COOP contingency missions depends on the accuracy and the currency of department COOP Plans. Information about an Alternate Facility, the logistics, telecommunications, and power support arranged, routing details, locations and addresses of local resource providers, etc., will all have to be periodically confirmed in order to satisfy accuracy and currency requirements. An organization should establish policy directing the frequency of re-evaluation and providing resources/funding for this to occur.
- ii. Preparation for Re-evaluation. Preparation for re-evaluation is much the same as for preliminary and technical surveys. A thorough understanding of COOP requirements and a review of site documentation are part of the preparation.
- iii. Re-evaluation Team. The re-evaluation team should be structured to provide a full-range of technical capabilities, to include the means for testing telephones and power, measuring and recording changes in the alternate facility or the surrounding location, and reassessing local threat conditions.
- iv. Post-Re-evaluation Actions. Invariably, some information about and conditions at the alternate facility will change.
 - a. When changes occur, you must determine whether the changes are so significant as to cause the alternate facility to be unsuitable for use or essential operations must be amended.
 - b. A plan to respond to changes must be developed. Usually this will consist of documentation changes required and suspense dates for completion. In more extreme cases, an in-depth re-evaluation of the suitability of the alternate facility is called for, or a plan for additional modifications is needed.
 - c. Provisions for back filling unsuitable alternate facilities.

- 22. AF On-Site POC Name: () -
- 23. AF On-Site POC Phone Number: () -
- 24. AF Alternate On-Site POC Name:
- 25. AF Alternate On-Site POC Phone Number: () -
- 26. Telecommunications/Data POC:
- 27. Phone Number: () -

If any information requested above is not applicable please mark N/A.

Typed Name of Signatory

Title

APPENDIX B - TAB 1-F: UNDERUTILIZED SPACE

GSE maintains a database of square footages in all State owned and leased facilities on the Capitol Complex and at the seat of government. Information on square footages leased outside the seat of government is also tracked by GSE for the following agencies: DHS, DIA, Education-DVRS, DPS, DOB, DHR, DPH, DRF and Secretary of State. IWD, Board of Regents, DPD and DNR track their agency's leased space outside the seat of government and do not report square footage information to GSE. This form is intended to help identify space outside the seat of government that may be available and appropriate for use as alternate facilities.

The DAS Property Manager may contact those indicating that they have underutilized space for further details.

Department/Agency Name:

Facility Address:

Facility: City _____ State _____

Is Facility in Leased (L) or Government Owned (Gov) Space

If Leased, expiration date: _____ / _____ / _____

Available Square Footage:

Proposed # of Personnel:

On-Site POC Name: (_____) - _____

On-Site POC Phone #: (_____) - _____

Is there already an agreement, formal or informal, to allow another agency to use this space as an alternate facility (AF)? Yes No

If yes, with what agency?

Agency POC Name:

Agency POC Phone #: (_____) - _____

APPENDIX C: INFORMATION TECHNOLOGY SUPPORT REQUIREMENTS

IT Support Requirements:

In the Essential Applications column, please list those applications deemed critical by the department. The Criticality Rating should reflect the essential function criticality rating of the essential function the application supports, as identified in section V of the COOP process.

Please work closely with your IT support specialists to complete the rest of the worksheet.

Under Supporting Hardware, please list all necessary resources (such as a server or other equipment) and whether they are department-owned or the application is stored on equipment provided by another department (such as DAS-ITE, DOT, IWD, etc.) In the final column please identify any network connectivity requirements of the application, such as a connection with the state backbone network or access to the internet or resources on other departments' networks.

Worksheet – IT Support

Criticality Rating	Essential Application	Supporting Hardware	Connectivity Requirements

Each department will complete this worksheet to identify IT Support Requirements.

Worksheet – Summary of Department Interoperability Communications Requirements:

Service	Current Provider	Specifications	Alternate Provider	Special Notes
Voice Lines				
Fax Lines				
Data Lines				
Cellular Phones				
Pagers				
Email				
Internet				
Blackberry				
Instant Messenger				
PDA Wireless Communications				
Handheld Radios				

"NOTE - Please list those applications deemed critical by the department under the Essential Function worksheet heading. Under the heading of IT dependencies list whether resources for this application are provided by department-owned hardware (such as a server or other equipment) or the application is stored on equipment provided by another department (such as DAS-ITE, DOT, IWD, etc.)."

APPENDIX D: AGENCY COOP STAFF CONTACT LIST

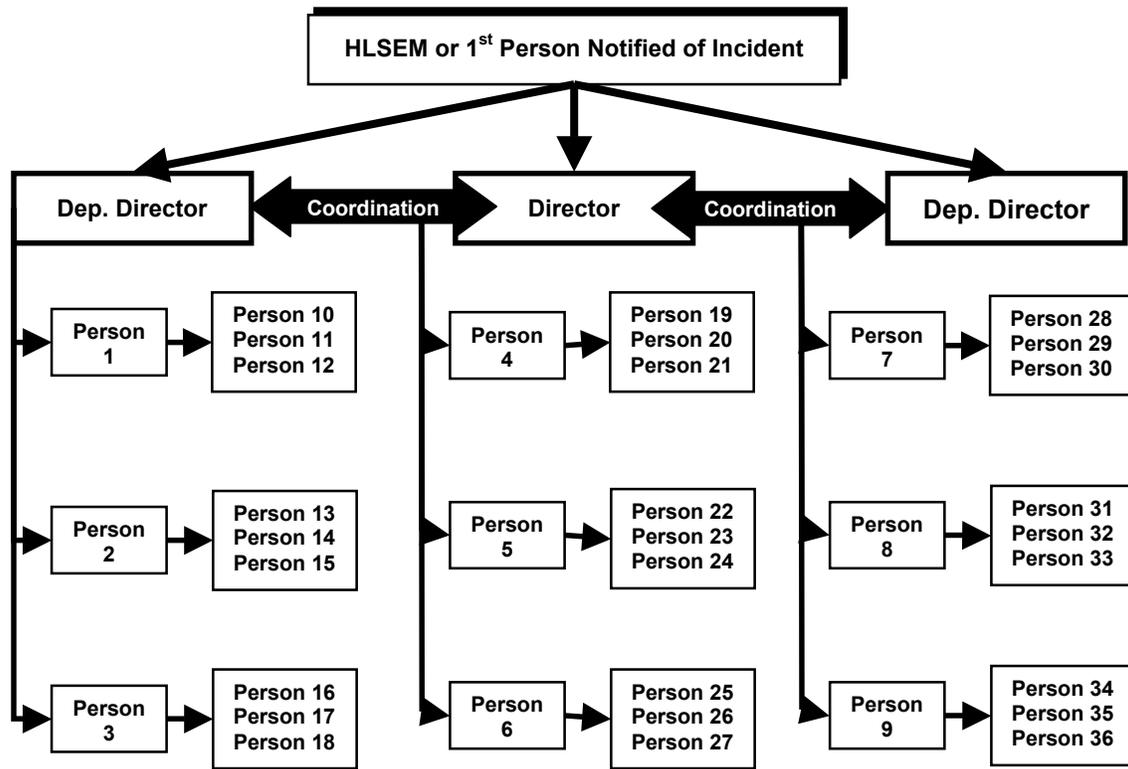
Worksheet – Designated COOP Personnel

#	Team / Position	Name	Duty Hour Contact	After Duty Hour Contact	Cell Phone	Pager
	Director					
	Dep. Director					
	Dep. Director					
1	ERG Team Chief					
2						
3						
4						
5						

Each department will complete this worksheet and keep its contents current. This worksheet will be reviewed on a monthly basis.

Note: You should consider developing a similar listing for key contractors, clients, or other local government officials.

This diagram is an example 'Call Tree' that may be utilized.

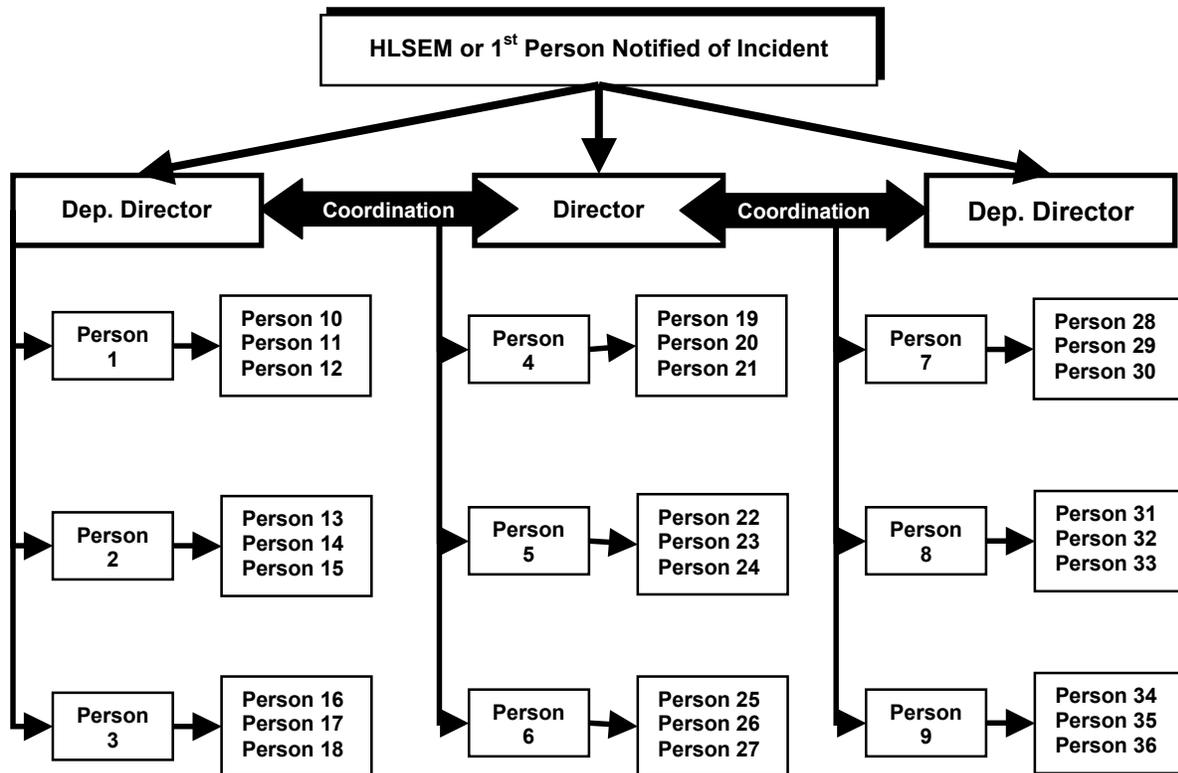


APPENDIX E: AGENCY NON-COOP STAFF CONTACT LIST

Worksheet – Non-COOP Personnel

#	Position	Name	Duty Hour Contact	After Duty Hour Contact	Cell Phone	Pager
	Director					
	Dep. Director					
	Dep. Director					
1	Non-COOP Coordinator					
2						
3						
4						
5						

Each department will complete this worksheet and keep its contents current. This worksheet will be reviewed on a semi-annual basis.



Example Staff Call Tree

APPENDIX F: DECISION SUPPORT TEMPLATE

In this section, you need to lay out, in order, the steps taken to make critical decisions leading to the activation/implementation of your COOP Plan.

Example Format – Decision Support Template

Step	Information or Event	Time Received	Action	Required Outcome	Date and Time Completed
1	Suspicious package identified in building	1/27/05 9:00 am	Follow established procedures in emergency response plan	Containment and isolation of the immediate area	1/27/05 9:15 am
2	HAZMAT team says the building is to be evacuated	1/27/05 9:05 am	Notify director and verify decision to evacuate	Department is safely evacuated. All personnel accounted for.	1/27/05 10:45am
3	Decision point: implement COOP Plan?	1/27/05 10:00 am	Directors meet with appropriate staff to assess situation	COOP/No COOP recommendation to Governor	1/27/05 1:30 pm
4	Obtain current copy of COOP Plan from HLSEM	1/27/05 10:30 am	Verify essential functions that are directly affected	Verify time criticality and determine if COOP implementation is required	1/27/05 1:30 pm
5	Department Director calls a meeting of the ERG at nearby facility	1/27/05 10:35 am	ERG verifies plans for relocation to alternate near-site	ERG verifies that current COOP Plan is valid and ready to execute	1/27/05 1:30 pm
6	State HLSEM reaffirms Capitol Complex Priority for COOP Implementation	1/27/05 1:35 pm	Based on established priority of resources, COOP relocation begins	ERG is activated	1/27/05 1:40 pm

APPENDIX G: CAPITOL COMPLEX COOP/COG PRIORITIES

The Capitol Complex serves as the seat of state government and houses approximately 5,000 employees. When the Iowa Legislature is in session, the total number of employees and visitors can be approximately 10,000. The Complex is vulnerable to many hazards, all of which have the potential to disrupt the state government, create damage, and cause injury or death to the employees and visitors.

It is possible for a major disaster to occur at any time, and at any place, on the Capitol Complex. In some cases, dissemination of warning and increased preparedness measures may be possible. However, many disaster incidents can, and will, occur with little or no warning.

The anticipated emergencies that might affect the Capitol Complex (such as Bomb Threats, introduction of Chemical and Biological agents, Fire, Hazardous Materials Incidents, Work Place Violence, or Tornado/Severe Storms) have been included in this planning document. However, actual emergencies may not be limited to these anticipated contingencies.

Proper implementation of Capitol Complex Emergency Response Plan can reduce, or prevent, the loss of life and damage to property. Key state officials are aware of the possible occurrence of any emergency, or major disaster, and their responsibilities in the execution of this plan, and will fulfill those responsibilities as needed.

The primary responsibility for the safety and welfare of the Capitol Complex employees and visitors rests with the Governor of Iowa. Because the complex also houses the Legislative and Judicial Branch's of government, they also have a key role. To fulfill this responsibility, all state agencies, including those in the Legislative and Judicial branches, must insure that proper emergency actions are taken in a timely manner and provide for the health and safety of those affected.

In the event of the evacuation of the Capitol Complex, in accordance with the current response plan, the following priorities, as they pertain to COOP and COG are established:

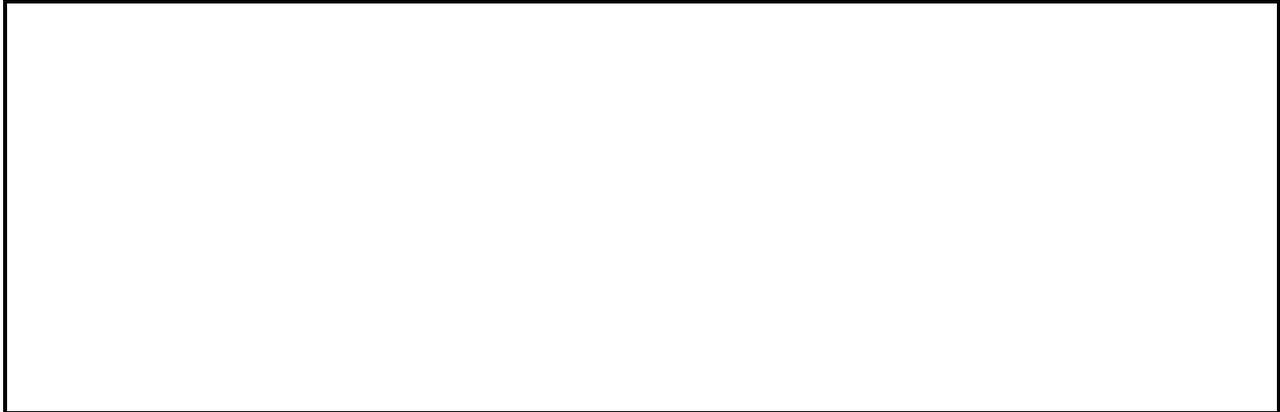
Worksheet – Capitol Complex COOP/COG Priorities

Priority	Department	Task
1		
2		This section will be completed once the State has a prioritized listing of essential functions associated with the Capitol Complex.
3		
4		
5		
6		

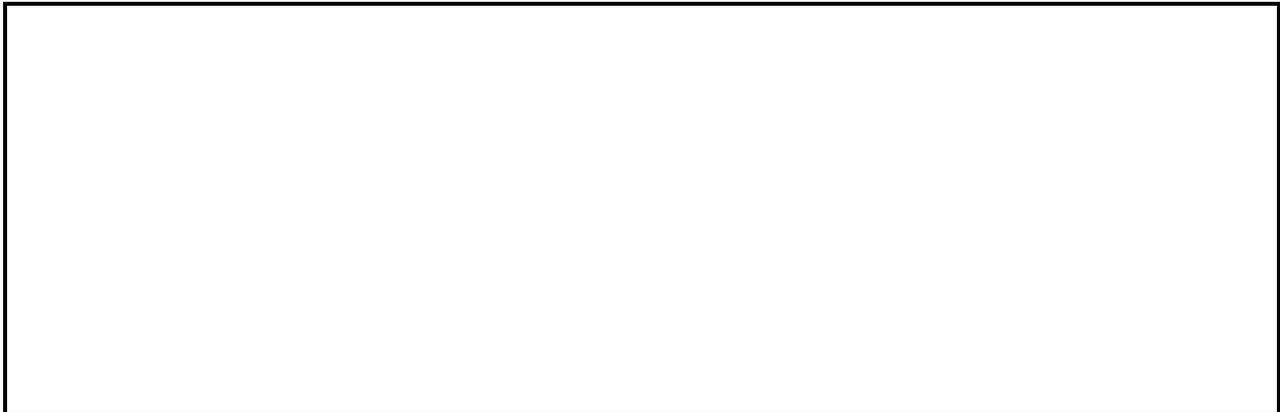
APPENDIX H: MAPS AND EVACUATION/RELOCATION ROUTES

Department specific maps will be developed and enclosed in each COOP/COG Plan.

Maps and evacuation/relocation routes to Alternate "Near Site":



Maps and evacuation/relocation routes to Alternate "Far Site":



Maps and evacuation/relocation routes back to primary site:



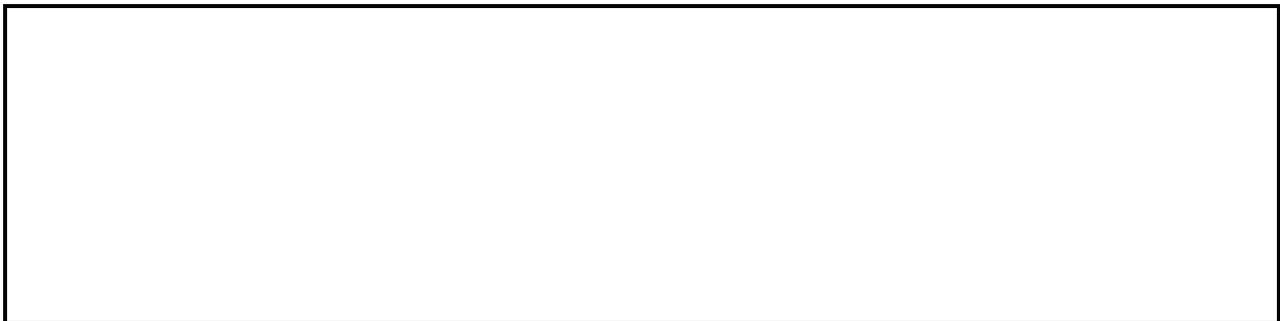
APPENDIX I: COOP BUILDING LOCATIONS AND FLOOR PLANS

Department specific maps will be developed and enclosed in each COOP/COG Plan.

Alternate "Near Site" floor plans and space utilization plan:



Alternate "Far Site" floor plans and space utilization plan:



Primary "Site" floor plans and space utilization plan (used upon return):



APPENDIX J: COOP DRIVE-AWAY KIT CHECKLIST

Department specific Drive-Away Kits will be developed and enclosed in each COOP/COG Plan.

COOP Drive-Away kits should be maintained and positioned at pre-designated locations by each department. Consideration should be given to pre-positioning these kits at the alternate work site(s) if feasible.

Contents of a COOP Drive-Away Kit may include, but are not limited to:

- Local phone book
- State Government services phone book
- Phone listing of Federal agencies
- Yellow pages
- Department/Division staff guide/phone book
- Back-up copies of critical documents and/or records
- Extension cords
- Surge protectors
- Automation equipment, if available
- Blank CDs or other external storage devices
- Flashlights and batteries
- Candles and a lighter
- 1 ream 8.5 x 11 Letterhead
- 1 pack A5 Letterhead
- 1 pack A5 Not Printed at Government Expense (NPGE) Letterhead
- #10 Franked Envelopes
- A5 Franked Envelopes
- A5 NPGE Envelopes
- 1 pack franked manila letter envelopes
- 1 ream Fax Cover Sheets
- 2 packs white, letter, college ruled pads
- 2 packs yellow legal pads
- 5 Reams Printer/Fax paper
- 4 packs index cards white or colored
- 4 boxes ballpoint pens
- 4 boxes felt tip pens blue or black
- 1 box hi-lighters
- 1 box binder clips
- 4 boxes paperclips
- 1 stapler
- 1 box staples
- 2 rolls tape
- 1 roll of trash bags
- 1 date stamp
- 1 ink pad
- Temporary 'Access Badges'
- Locks and padlocks
- And any other items the department may need and can pre-position and/or store in a Drive-Away kit.

APPENDIX K: AFTER-ACTION REPORT TEMPLATE

Following the occurrence of an actual event or a training event, each department will conduct a formal after-action review and prepare an After-Action-Report. A copy of this report shall be submitted to HLSEM no later than 30 days following each event.

The text indicated below is a 'sample format' for after-action reports. None of the text herein contained should be construed as mandatory.

Example AAR

i. Executive Summary

The Executive Summary provides a brief overview of the exercise, major strengths demonstrated during the exercise, and areas that require improvement.

Homeland security preparedness involves a cycle of outreach, planning, capability development, training, exercising, evaluation, and improvement. Successful exercises lead to an ongoing program of process improvements. This report is intended to assist agencies striving for preparedness excellence by analyzing exercise results and:

- a. Identifying strengths to be maintained and built upon;
- b. Identifying potential areas for further improvement; and
- c. Recommending exercise follow-up actions.

The suggested actions in this report should be viewed as recommendations only. In some cases, agencies may determine that the benefits of implementation are insufficient to outweigh the costs. In other cases, agencies may identify alternative solutions that are more effective or efficient. Each agency should review the recommendations and determine the most appropriate action and the resources needed (time, staff, funds) for implementation.

The Strategic National Stockpile (SNS; formerly the National Pharmaceutical Stockpile [NPS]) held a 2-day full-scale weapons of mass destruction (WMD) exercise June 17–18, 2003. The State Department of Public Health (DPH) and the State Emergency Management Agency (EMA) cosponsored the exercise with assistance from the U.S. Department of Health and Human Services, Centers for Disease Control and Prevention (CDC) and the U.S. Department of Homeland Security, Office for Domestic Preparedness (DHS/ODP). This exercise was the State's first using newly developed procedures to receive, distribute and dispense SNS supplies in response to a Statewide bioterrorism incident.

The exercise included CDC delivery of mock SNS supplies to a central receiving warehouse in the capital city. The participating agencies coordinated the unloading, reappportionment, and distribution of those supplies to two actual and four simulated distribution points. The Capital County Public Health Department activated a temporary Dispensing Site and conducted emergency dispensing operations for 5 hours, treating 600 role-playing patients.

ii. Strengths

Key strengths identified during this exercise include the following:

- a. The participants of all agencies at the State and local levels demonstrated excellent teamwork.
- b. A new cooperative partnership was established between DPH and EMA.

- c. The planning forethought demonstrated by State and local agencies in designing their SNS receipt, distribution and dispensing procedures was excellent.
- d. The participating agencies successfully demonstrated an initial capability to manage a statewide bioterrorism incident including the supply and operation of a distribution center.

The participants demonstrated a positive attitude and the ability to recognize and react to shortfalls in the new SNS Plans, as they were uncovered and to smoothly adjust operations.

In addition, several successes of this exercise should be recognized, among them:

- a. This was the first major DPH exercise.
- b. This was the first test of the State's new SNS Standard Operating Procedures.
- c. This was the first joint DPH/EMA exercise.
- d. This was one of the Nation's first exercises to comprehensively test SNS request, delivery, redistribution and dispensing operations in a single, near-real-time exercise.
- e. In response to the quality, scope, and scale of the exercise, CDC provided three SNS training packages rather than the usual single package, and it piggybacked a no-notice CDC SNS deployment exercise onto the State exercise.

iii. Areas for Improvement

Through the exercise, several opportunities for improvement in the State's ability to respond to a bioterrorism incident were identified. Major recommendations include the following:

- a. Electronic emergency management information system access and training should be expanded to all State agencies and all counties in the State.
- b. State quarantine plans and procedures should be reviewed and enhanced.
- c. Communication between the State and county Emergency Operations Centers and the temporary SNS distribution network should be enhanced.
- d. Efficiency improvements should be made to the implementing procedures for the Receiving, Staging, and Storage (RSS) site and dispensing center.
- e. Improvements should be made to the dispensing center exterior security and to crowd control.

Planners should use the results of this exercise to forecast dispensing and treatment center locations and staffing requirements for a large-scale bioterrorism event requiring implementation of mass prophylaxis.

Planners should consider scenarios to serve 1,000; 10,000; 100,000; and 1 million patients for contagious or non-contagious threats. Subsequent exercises should test specific improvements instituted as a result of this exercise and should include a focus on public information measures. Planners should consider exercising the alternate RSS site should the primary site be unavailable in an emergency. Additional Dispensing Sites should be exercised to ensure that emergency prophylaxis measures can be instituted at key areas across the State. For cost effectiveness, planners should consider rotating Dispensing Site exercises across the State, with or without an SNS stockpile deployment exercise.

iv. Chapter 1: Exercise Overview

The Exercise Overview describes the exercise, identifies the agencies/organizations that participated in it, and describes how it was structured and implemented.

- a. Exercise Name: Strategic National Stockpile Tabletop and Full-Scale Exercise
- b. Duration: 2 days
- c. Exercise Date: June 17, 2005: Tabletop Exercise
- d. Sponsor: State of Iowa HLSEM
- e. Type of Exercise: Tabletop Exercise
- f. Funding Source (Agency Receiving Funding): State Emergency Management Agency
- g. Program: Homeland Security Exercise and Evaluation Program, State 05 Funding
- h. Focus
 - Response
 - Recovery
 - Prevention
 - Other
- i. Classification
 - Unclassified (U)
 - For Official Use Only (FOUO)
 - By Invitation Only (IO)
- j. Scenario
 - Chemical release or threat (C)
 - Biological release or threat (B)
 - Radiological release or threat (R)
 - Nuclear detonation or threat (N)
 - Explosive detonation or threat (E)
 - Cyber (Y)
 - Other/Specify (O)
- k. Location: Any town, US
- l. Participating Organizations
- m. Cosponsors
 - 1. Local Agencies: List any local agencies that sponsored the exercise.
 - 2. State Agencies: List any State agencies that sponsored the exercise.
 - 3. Federal Agencies: List any federal agencies that sponsored the exercise.

4. Contract Support (if applicable): Name of Consulting Firm
- n. Participants
 1. Federal Agencies: List any federal agencies participating in the exercise.
 2. State Agencies: List any State agencies participating in the exercise.
 3. Local Agencies: List any local agencies participating in the exercise.

o. Number of Participants

1. Players 136
2. Victim role players 100
3. Controllers 28
4. Evaluators 28
5. Observers 89

p. Exercise Overview

The Strategic National Stockpile (SNS) Full-Scale Exercise was designed to be a 2-day terrorism exercise. The goal of the exercise was to familiarize the necessary agencies with the protocols in place for deploying SNS supplies. Exercise play focused on the logistics associated with ordering, delivering, distributing, and dispensing SNS supplies.

The exercise was designed to:

1. Continue to solidify the partnership between the State and the Federal Government.
2. Assess the inter/intra-agency coordination of Federal agencies, the State, and local jurisdictions during a public health crisis triggered by a terrorist attack using weapons of mass destruction (WMD).
3. Improve the operational readiness of the State emergency management system, and augment the capabilities of that system to respond to emergencies.
4. Provide an opportunity for individual training and agency cross-training to achieve a high level of collective preparedness.
5. Assist the State in assessing, validating, and updating the State's Emergency Operations Plan (August 1999) and its Terrorism Incident Response Annex (January 2003), the State Emergency Operations Center Standard Operating Procedures (May 2000), and the SNS Standard Operating Procedures (March 2003).
6. Revisit and validate some of the lessons learned during the State's SNS Tabletop Exercise of January 2003.

Participants were advised that the exercise was an "evaluated practice," a format that allowed players to test their plans and procedures within a no-fault learning environment. At the same time, Evaluators, Controllers, and Simulators collected information to assess performance of critical tasks during exercise play using State and local plans and procedures.

The scope of play required activation of the State Emergency Operations Center (EOC), the Department of Public Health (DPH) Emergency Coordination Center (ECC), the Receiving, Staging, and Storage (RSS) Site, the RSS Forward Command Post (FCP), two State-operated Distribution Nodes, and a locally operated Dispensing Site. Organizations that were not directly involved as participants at one of the exercise locations and actions that took place outside of these play locations were played by Controllers in the simulation cell (SIMCELL). From the SIMCELL, the Controllers injected messages and implemented the scenario through phone calls, faxes, and electronic messages.

- q. The exercise consisted of a half-day tabletop exercise followed by a day-and-a-half full-scale exercise.
1. Tabletop Exercise: Executive-level players from the Governor's Office, the State DPH, and the State Emergency Management Agency (EMA) participated in a tabletop component that exercised their decision-making procedures for requesting the SNS 12-Hour Push Package from the CDC. After the executive group had decided to request the SNS, players pre-designated to staff the EOC, DPH ECC, and RSS FCP were notified through normal processes to report to their respective locations by 1230.
 2. Full-Scale Exercise: The State's SNS Receiving Team reported to the RSS and began preparing to receive the SNS supplies. At 1230, players at each site received an introductory briefing including exercise rules and the scenario background. Full-scale exercise play continued until 1630. Players returned to the EOC, DPH ECC, and RSS FCP at 0730 the next day. Players also activated two additional exercise locations: the Capital County Distribution Node and the Capital City Dispensing Site. Full-scale play continued until 1530 that afternoon, including 3 hours of dispensing supplies to role-players at the Capital City Dispensing Site.

Onsite hot washes were conducted at the SEOC, DPH ECC, and the RSS FCP. Information from those hot washes was incorporated into the Exercise Evaluation Conference conducted on the day after the exercise.

- r. Exercise Evaluation:

The exercise was designed to provide participants with an opportunity to assess current capabilities to perform the critical tasks required to respond to a public health emergency resulting from a bioterrorist attack. Through assessment of those capabilities, participants identified strengths, weaknesses, and future training needs.

Evaluators were positioned at all exercise locations to observe and record exercise events, including player actions. Immediately following the conclusion of the tabletop segment and the termination of the entire exercise, Controllers at each location facilitated hot washes to capture observations and opinions from players. In addition, all participants were provided with exercise critique forms to record their observations of the exercise.

An Exercise Evaluation Conference was conducted on June 19, 2003. At the conference, Evaluator observations were analyzed, compared, and prioritized through a facilitated process with key players and Controllers to determine lessons learned, make recommendations for improvement actions, and identify key areas of emphasis for future planning.

In keeping with the no-fault nature of this exercise, the evaluation in this report examines the plans, procedures, and response systems used. As an evaluated practice, individual and team player performances were observed and

documented to make recommendations for future improvements. Evaluator observations focus primarily on overall unit actions and the interaction between response units rather than on individual players.

v. Chapter 2: Exercise Goals and Objectives

The Exercise Goals and Objectives section lists the goals and objectives for the exercise. These are developed during the exercise planning and design phase and are used to define the scope and content of the exercise as well as the agencies and organizations that will participate.

The State established the following goals and corresponding objectives for this exercise. All exercise goals were demonstrated during exercise play and ultimately accomplished. Through demonstration of these objectives, the exercise players successfully simulated an effective response to scenario events.

At the same time, exercise play revealed ways that future responses could be made more effective.

a. Goal 1: Test and improve the draft State Strategic National Stockpile (SNS) Standard Operating Procedures for a terrorist biological weapons of mass destruction (WMD) attack.

1. Objective 1: Demonstrate the ability of the executive management team to assess the public health threat in accordance with the State SNS Standard Operating Procedures.
2. Objective 2: Demonstrate the ability of the executive management team to initiate a request for SNS deployment in accordance with the State SNS Standard Operating Procedures.

b. Goal 2: Test the interoperability of the State SNS Standard Operating Procedures with the State

Emergency Operations Plan and Terrorism Incident Annex.

1. Objective 1: Demonstrate the ability to alert and activate personnel, facilities, and systems required to support a large-scale response to a biological incident using SNS supplies.
2. Objective 2: Demonstrate the ability of State public health personnel to develop a decision aid and to prioritize the allocation of SNS supplies.
3. Objective 3: Demonstrate the ability to establish a Forward Command Post to coordinate logistics and security for receipt and distribution of SNS supplies.
4. Objective 4: Demonstrate the ability to coordinate public information, including rumor control, among multiple Federal, State, and local agencies to effectively notify, warn, and instruct, and disseminate to, the public during a biological WMD attack.
5. Objective 5: Demonstrate the ability to effectively communicate and coordinate among State and local agencies through established emergency response protocols including the utilization of State and local Emergency Operations Centers.

c. Goal 3: Demonstrate the ability to receive, break down, distribute, and dispense SNS supplies to minimize casualties in a large-scale biological attack.

1. Objective 1: Demonstrate the ability to establish and maintain security at all sites involved in the handling of SNS supplies.

2. Objective 2: Demonstrate the ability to establish and operate a distribution network for SNS supplies including a Receiving, Staging, and Storage center and at least one Distribution Node.
3. Objective 3: Demonstrate the ability to establish and operate at least one Dispensing Site for SNS supplies.
4. Objective 4: Evaluate the response times to receive, distribute, and dispense SNS supplies under the draft State SNS Standard Operating Procedures.
5. Objective 5: Demonstrate the capability to implement SNS supplies and patient tracking procedures under the draft State SNS Standard Operating Procedures.

vi. Chapter 3: Exercise Events Synopsis

The Exercise Events Synopsis provides an overview of the scenario used to facilitate exercise play and the actions taken by the players to respond to the simulated terrorism attack. The activities are presented in the general sequence and timeline that unfolded at each site. The events synopsis provides officials and players with an overview of what happened at each location and when. It is also used to analyze the effectiveness of the response, especially the time-sensitive actions. It provides a means of looking at the ramifications of one action not happening when expected on actions taken by other players and on the overall response. The following example presents the synopsis for the first of three modules for the following tabletop and action at the Emergency Operations Center (EOC) on Day 1 of the full-scale exercise. Similar write-ups would be included for each element of play.

a. Scenario

The events depicted in the scenario take place during a period of heightened alert throughout the United States. The threat of international terrorism is a continual source of concern, and the Homeland Security Advisory System is set at threat condition Orange. In particular, the region of the country where the State is located has been warned that a domestic terrorist group, the Allies of Islam, has purportedly made vague but aggressive Statements aimed at the heartland.

The scenario takes place in the early summer after an average winter during which influenza cases were common. There have been higher than usual caseloads of patients experiencing severe respiratory distress and other influenza symptoms because of several new virus strains that spread periodically throughout the winter.

b. Executive Tabletop Component: Morning, Exercise Day 1

Module 1: June 13–15, 2005

Scenario events begin on June 13, 2005, when Capital City-area hospitals and clinics see an above average number of patients complaining of flu-like symptoms. Eight of these patients have symptoms severe enough to be admitted to hospitals. The scenario then follows these patients through the next few days as their symptoms worsen and their sickness is reclassified as suspected pneumonia. The illness continues to spread across the State with more and more people being admitted to hospitals and clinics complaining of flu- and pneumonia-like symptoms.

As the epidemic spreads to more and more areas, the State Department of Public Health (DPH) begins to monitor the situation, requesting samples from hospitals with suspicious cases. On June 15, 2005, a doctor treating patients in

Capital City receives test results that confirm some of his patients are afflicted with pneumonic plague. At the same time, DPH receives presumptive test results indicating that pneumonic plague has spread to every region of the State.

An Executive Group consisting of the Director of DPH, the Director of the Office for Disease Control, the State Epidemiologist, the Director of Clinical Services, the Director of the State Emergency Management Agency (EMA), the Homeland Security Advisor, and the Director of the Department of Health and Hospitals convened to discuss the growing emergency and determine appropriate State actions.

Players discussed notifying neighboring States and contacting the Centers for Disease Control and Prevention to acquire additional information from those sources regarding further potential pneumonic plague outbreaks. Players also indicated that DPH would use the Health Alert Network to notify hospitals and clinics Statewide of the emerging situation and that EMA would activate the State EOC, with DPH representation, to monitor the emergency. Because the media had already become aware of the problem, players stressed that Public Information Officers (PIOs) would be engaged to manage public information and rumor control. Players also considered the availability and adequacy of local and State medical supplies to treat the epidemic and discussed how the Governor's Office would make State-level assistance available to the affected counties. Finally, the players acknowledged that quarantine measures would have to be considered.

vii. Chapter 4: Analysis of Mission Outcomes

This section of the After Action Report (AAR) analyzes how well the participating agencies and jurisdictions addressed the mission outcomes. Mission outcomes are those broad outcomes or functions that the public expects from its public officials and agencies. As defined in ODP's *Homeland Security Exercise and Evaluation Program, Volume II: Exercise Evaluation and Improvement*, the mission outcomes include prevention and deterrence, emergency assessment, emergency management, hazard mitigation, public protection, victim care, investigation and apprehension, and recovery and remediation. The exercise goals and objectives will define the mission outcomes that are addressed by the exercise and that should be analyzed in this section of the AAR.

This section of the report analyzes how well the participating jurisdictions as a whole (i.e., across disciplines and across jurisdictions) achieved the expected mission outcomes in their response to the simulated terrorist event. The focus of this analysis is on outcomes rather than processes. The mission outcomes are actions the public expects from its public officials and agencies when faced with a terrorist threat or attack. Results for each mission outcome are summarized below by outcome area. A detailed analysis of the activities and processes that contributed to results related to the mission outcomes is found in "Analysis of Critical Task Performance."

a. Emergency Management

Direction and Control of State Response

State agency participants effectively demonstrated the ability to manage a bioterrorism incident. Alert and activation of the Emergency Operations Center (EOC) and the Emergency Coordination Center (ECC) were accomplished through a previously scheduled limited activation order. The EOC was staffed primarily with Emergency Management and Public Health personnel in accordance with the Exercise Plan, with limited participation from the State

Department of Transportation, State Department of Public Safety, and other selected State staff. The EOC is a well-equipped, State-of-the-art facility.

The Emergency Management staff is well trained and serves as the primary personnel to facilitate operations involving staff assigned from other agencies. The EOC was fully operational at the start of the exercise and maintained operations for the scheduled operations (single-day shift only).

The State Department of Public Health (DPH) and Emergency Management Agency (EMA) demonstrated excellent coordination in directing and controlling response operations, operating as a nearly seamless integrated team. An Executive Policy Team managed key decisions such as requesting Strategic National Stockpile (SNS) supplies from the Centers for Disease Control and Prevention (accomplished during the tabletop component). Agency officials generally found it easy to attain consensus on a course of action. Problem solving was accomplished as a team.

The EOC did not activate a Planning, Information, and Intelligence Cell. Therefore, ad hoc policy teams were formed to examine urgent issues such as the decision to implement quarantine. Although the use of issue teams is an effective information management technique, the absence of a dedicated Planning, Information, and Intelligence Cell somewhat inhibited the ability of the State to forecast future requirements and decisions. As a result, exercise players often were reacting to events rather than anticipating events. For example, high school students were the primary infected population and thus the primary disease vector. Exercise controllers introduced the issue of school closure several times before players recognized school closure as a means to disrupt disease progression.

Activation of a limited SNS supply network occurred per the Exercise Plan and included the central Receiving, Staging, and Storage (RSS) site at the airport, two Distribution Nodes (located in Capital County and Suburban County 2), and a single Dispensing Site in Capital City. The RSS received the SNS 12-Hour Push Package supplies and rapidly dispatched them to the Distribution Nodes. A slight lag in determining the allocation of supplies among Distribution Nodes resulted in an initial 30- to 60-minute delay in the loading of supplies. However, supplies reached the Capital City Dispensing Site in time for planned operations to begin on schedule.

Decision-making for allocation of SNS supplies was resourceful; approximately half of the inventory was distributed to known impacted counties and half reserved for anticipated, developing impacts. On Day 2, as it became evident that the population at risk of infection exceeded supplies available in the 12-Hour Push Package, the ECC was tasked with determining the allocation of Vendor Managed Inventory supplies. The Hospital Preparedness Coordinator and Assistant State Epidemiologist considered the utility of issuing prophylaxes to the entire State versus only to potentially exposed citizens. It is not clear whether a decision was reached before the conclusion of the exercise.

The EOC demonstrated the capability to direct and control distribution of supplies and equipment, with some limitations. The EOC considered the use of Statewide Mutual Aid Compact resources and correctly determined that the Statewide impact of the epidemic precluded any significant sharing of resource among counties. The EOC made good use of Emergency Management Assistance Compact resources to provide assistance to affected counties. However,

communications between the EOC and RSS were very limited, resulting in some disconnect in operational direction.

Players commented that they underutilized State resources (e.g., State buildings, public works organizations, and the State's National Guard) and Federal resources (disaster medical assistance teams and Federal funds to allocate resources). The EOC has no consistent method for tracking resources used or needed, which players attributed to "uncertainty" in the adequacy of department inventory methods. No resource-tracking displays (status boards or electronic projections) were evident in the EOC.

viii. Chapter 5: Analysis of Critical Task Performance

This section of the report reviews performance of the individual tasks as defined in the Evaluation Guides. Each task identified by the exercise planning team as critical to the response required by the scenario should be discussed in this section. Tasks that were performed as expected require only a short write-up that describes how the task was performed and generally would not be followed by recommendations.

For tasks that were not performed as expected, the write-up should include 1) an issue Statement; 2) references to plans, procedures, and evaluation guides; 3) a brief summary of the issue; 4) the consequence of the issue on the response, and 5) an analysis of what happened or did not happen and the root causes for the variance from the expected outcome. Recommendations for improvement should be presented to address identified issues. To facilitate tracking of recommendations and improvements, acronyms should be spelled out in each recommendation. The Analysis of Critical Task Performance section of the report also should be used to document a variance from expected performance that may have resulted in an improved response or innovative approaches that were used during the response.

Note: At some point in the future, when the performance criteria have been validated and enhanced, jurisdictions will be asked to rate the performance of each task and to provide an overall performance rating for the exercise.

Following the review and validation of the draft report findings by key officials from the participating agencies/jurisdictions (during the debriefing meeting), the officials define the actions that will be taken to address the recommendations. These improvement actions are presented following each recommendation and include the action, the responsible party/agency, and the timeline for completion.

a. Task III-14: Provide Emergency Public Information to the Media and the Public

Issue 1: Some counties did not receive press releases.

Reference: Joint Information Center (JIC) standard operating procedures, EEG III-14.

Summary of Issue: JIC staff prepared a series of press releases to convey information to the public.

Each release was coordinated with the Executive Management Team. The press releases were distributed over the Emergency Management System (EMS). However, not all counties use the EMS to obtain their information. For example, the Capital County Dispensing Site did not receive any news releases because they do not use EMS.

Consequence: one county that had not seen the latest press release put out outdated and conflicting information.

Analysis: The JIC relied solely on the EMS as its method of distributing the press releases. The procedures for the JIC require that press releases be faxed to counties that do not have access to or use the EMS. However, when the second press release was sent, the Deputy Public Information Officer (PIO) asked if he should fax the release to the counties and was told by the PIO that it is the county's responsibility to ensure access to and use of the EMS. Capital County has access to the EMS but does not generally use it because staff is not trained for its use. The Capital County PIO indicated that the system was not properly installed and therefore they could not use it.

Recommendations and Improvements

Recommendation 1: The Emergency Management Agency (EMA) should establish procedures or protocols to ensure that news releases reach all affected counties or agencies, regardless of their EMS capabilities.

Action 1: The director of EMA issued a directive on September 1, 2003, requiring that all personnel assigned to work in the JIC receive a copy of the operating procedures, become familiar with them, and follow them during an emergency.

Action 2: The director of EMA will convene a working group with representatives from selected counties to develop a plan to provide all counties with access to the EMS and train county staff. The working group will be established within a month. The plan will be completed by February 1, 2004, and training will be available by March 1, 2004.

Action 3: The EMS system director will develop and implement a backup system (e.g., fax, email) to ensure that all counties receive news releases.

b. Task V-1: Develop and Implement Protective Action Decisions

Issue: None.

Summary: Public Health demonstrated the ability to implement a representative sample of population protective measures for a terrorist-induced Statewide pneumonic plague outbreak. Following confirmation of the agent, participants requested the Strategic National Stockpile (SNS) push package from the Centers for Disease Control and Prevention (CDC), following the procedures outlined in their plans. Once the SNS arrived at the designated receiving site, responsibility for the package was transferred to the State and local authorities, who began the breakdown and distribution. Public Health established geographic and risk-group dispensing priorities and adjusted them as information continued to develop throughout the scenario. Public Health arranged additional pharmaceutical and medical supplies through the Vendor Managed Inventory to ensure a continued supply of prophylaxis.

Recommendations and Improvements

None.

Conclusions

This exercise was the State's first exercise of newly developed procedures to receive, distribute, and dispense Strategic National Stockpile (SNS) supplies in response to a Statewide bioterrorism incident.

Exercise participants demonstrated an initial capability to

1. Assess an emerging bioterrorism event,
2. Request National Pharmaceutical Stockpile supplies from the Centers for Disease Control;
3. Prevention (CDC);
4. Institute coordinated emergency management with State and local public health agencies;
5. Institute population protective measures for a bioterrorism incident;
6. Establish a distribution network for SNS supplies, and
7. Operate a temporary clinic for the emergency distribution of antibiotic prophylaxis.

Exercise participants completed all planned exercise objectives. In a no-notice deployment test, CDC delivered SNS supplies within 11 hours of the State request, which meets CDC's 12-hour delivery target. The State sent (mock) SNS supplies to two Distribution Nodes for further shipment to Dispensing Sites and treatment centers. A Capital City Dispensing Site received SNS supplies and was ready to begin dispensing operations within 34 hours of the SNS request. The temporary dispensing clinic exceeded the planned goal of processing 300 patients through the temporary dispensing clinic within 3 hours by actually processing 398 patients.

Exercise participants identified several lessons learned for improvements in the State's ability to respond to a bioterrorism incident. Major recommendations include:

1. Expand Emergency Management System access and training to all State agencies and all counties in the State;
2. Review State quarantine plans and procedures;
3. Improve communications processes between the State Emergency Operations Center (EOC), county EOCs, and the temporary SNS distribution network;
4. Implement Receiving, Staging, and Storage (RSS) and dispensing center efficiency improvements; and
5. Improve dispensing center exterior security and crowd control.

The State can use the results of this exercise to further refine plans, procedures, and training for a bioterrorism incident. The State should prepare expected dispensing and treatment center locations and staffing requirements for incidents that will require mass prophylaxis through multiple Dispensing Sites. CDC recommends preparing plans to serve 1,000; 10,000; 100,000; and 1 million patients for contagious or non-contagious threats. Plans should address transportation management for large incidents.

In addition, the State should review public information protocols for a large-scale bioterrorism incident. Preplanned messages and a coordinated State and local public information effort will help public health officials efficiently direct citizens to centers for prophylaxis or medical treatment. Effective communication of risk and protective measures to citizens can reduce disease propagation and public anxiety.

Subsequent exercises should test specific improvements instituted as a result of this exercise and should include a focus on public information measures. Planners should consider exercising the alternate Receiving, Staging, and Storage site if the primary site is unavailable in an emergency. Additional Dispensing Sites should be exercised to ensure that emergency prophylaxis measures could be instituted at key areas across the State. For cost effectiveness, planners should consider rotating Dispensing Site exercises across the State, with or without an SNS deployment exercise.

APPENDIX L: CHECKLISTS

Examples of possible 'checklists' are listed below. Each department will determine which checklists need to be incorporated into their COOP/COG Plans.

- i. Personal preparedness drive-away kit checklist
- ii. Personal preparedness at-home kit checklist
- iii. Leadership – Top 10 Immediate Actions checklist
- iv. Continuity of Government – succession of an elected official checklist
- v. Continuity of Government – succession of an appointed official checklist
- vi. Notification of next-of-kin and family support checklist
- vii. Others as desired

APPENDIX M: EMERGENCY RESPONSE PLANS

- i. The Iowa Capitol Complex Emergency Response Plan is an Addendum to the Iowa Emergency Response Plan, and shall be used as a part of that plan. The Iowa Emergency Response Plan outlines actions to be taken by State Government and other participating organizations that work together to establish response capabilities, and to maximize the effectiveness of a State response.

The Iowa Emergency Response Plan does not attempt to deal with those incidents that happen on a daily basis, which can routinely be handled by emergency responders and state employees. Likewise, this appendix provides copies of requisite plans that outlines responsibilities and describes operations to be implemented during an emergency response at the Capitol Complex.

It is not the intention of this Appendix to replicate those plans. However, it is imperative that departments ensure that current response plans are maintained in the appropriate locations for use during a COOP event.

- ii. Primary work site: (Copies of these plans are located at the primary work facility and should be reviewed and incorporated into COOP planning. Without updated and integrated Response Plans, the implementation of COOP Plans will be more difficult; and if poorly executed, may aggravate the situation or induce implementation of COG procedures).
 - a. Fire Evacuation
 - b. Tornado
 - c. Bomb Threat
 - d. Bomb or Suspicious Package
 - e. Shelter-in-Place
 - f. White-Powder or Suspicious Substance
 - g. Others as Desired
- iii. Alternate work site: (Copies of these plans should be posted in this section of department plans. Additionally, copies should be maintained in department COOP fly-away kits)
 - a. Fire evacuation
 - b. Tornado
 - c. Bomb Threat
 - d. Bomb or Suspicious Package
 - e. Shelter-in-Place
 - f. White-Powder or Suspicious Substance
 - g. Others as Desired

APPENDIX N: DEFINITIONS AND ACRONYMS

DEFINITIONS

The following terms, used within this plan, are defined here as a means to facilitate the reader's understanding of the contents of this plan:

Activation of the COOP Plan: The initiation of the process of executing the COOP plan, whether in whole or in part.

Agency Head: The highest-ranking official of the primary occupant agency or successor or designee selected by the official.

Alternate Site/Facility/Location: A location, other than the normal facility, used to carry out essential functions in a COOP situation. The alternate facility to which the ERG/COOP team will deploy to continue essential functions in the event the building is threatened or incapacitated.

Automated Data Processing (ADP) Equipment: Equipment that performs data processing largely by automatic means.

Collateral Damage: Injury to personnel or damage to facilities that are not the primary target of attack.

Consumable Office Supplies: General supplies that are consumed in office use.

Continuity of Government (COG): A coordinated effort within each branch of government to ensure the capability to fulfill minimum essential responsibilities in a catastrophic emergency to ensure the capacity to maintain an enduring constitutional government.

Continuity of Operations (COOP): Internal organizational efforts to ensure that a viable capability exists to continue essential functions across a wide range of potential emergencies through plans and procedures that delineate essential functions; specify succession to office and the emergency delegation of authority; provide for the safekeeping of vital records and databases; identify alternate operating facilities; provide for interoperable communications; and validate the capability through tests, training and exercises.

Continuity of Operations Plan: A plan that provides for the continuity of essential functions of an organization in the event an emergency prevents occupancy of its primary building. It provides the organization with an operational framework for continuing its essential functions when normal operations are disrupted or otherwise cannot be conducted from its normal headquarters.

COOP Event: Any event that causes an agency or department to relocate operations to an alternate site to assure continuance of its essential functions.

COOP Point of Contact (POC): These are the staff designated by the leadership of an organizational element or component that would be the main point of contact for all COOP related issues.

COOP Phases: The three levels of operations implemented in response to an emergency or any other situation that disrupts normal operations. The phases are implemented sequentially and include: Activation and Relocation, On-Site Operations and Reconstitution.

Critical Infrastructure Protection (CIP): Risk management actions intended to prevent a threat from attempting to, or succeeding at, destroying or incapacitating critical infrastructures. Critical infrastructures are those systems and assets so vital to the nation that their incapacity or destruction would have a debilitating impact on national security, national economic security and/or national public health or safety.

Delegation of Authority: Specifies who is authorized to act on behalf of the department/agency head and other key officials for specific purposes.

Devolution: The capability to transfer statutory authority and responsibility for essential functions from an agency's primary operating staff and facilities to other employees and facilities, and to sustain that operational capability for an extended period.

Drive-Away Kit: A kit prepared by, and for, an individual who expects to deploy to an alternate location during an emergency. It contains items needed to minimally satisfy personal and professional needs during deployment.

Emergency Coordinator: This is the key official, usually senior, appointed within an organizational element or higher who serves as the coordinator for all response plan and Incident Management System COOP related issues.

Emergency Operating Records: Records that support the execution of an agency's essential functions.

Emergency Relocation Group (ERG): Pre-designated principals and staff members who will move to an emergency relocation site to continue essential functions in the event the building is threatened or incapacitated.

Emergency Relocation Site: See Alternate Site/Alternate Location.

Emergency Support Team: An interagency group that provides general coordination support for response activities in the field. It is responsible for coordinating and tracking the deployment of initial response resources and other responder support items to the field. It is the central source of information at the headquarters level regarding the status of ongoing and planned disaster operations.

Enduring Constitutional Government (ECG): A cooperative effort among the Executive, Legislative and Judicial branches of government, coordinated by the President/Governor, to preserve the capability to execute constitutional responsibilities in a catastrophic emergency.

Emergency Relocation Group (ERG) Member: A person assigned responsibility to report to an alternate site, as required, to perform agency essential functions or other COOP related operations.

Essential Functions: Functions that enable government agencies to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base during an emergency.

Essential Resources: Resources that support the government's ability to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial/economic base in an emergency.

Executive Agent: A term used to indicate a delegation of authority by a superior to a subordinate to act on behalf of the superior. An executive agent may be limited to providing only administration and support or coordinating common functions, or it may be delegated authority, direction and control over specified resources for specified purposes.

Homeland Security Exercise and Evaluation Program (HSEEP): The HSEEP provides an approach, methodology, and evaluation guides for the evaluation of performance of critical homeland security tasks during exercises. The HSEEP documents identify a set of tasks, primarily for response at the State and local levels. The HSEEP approach and methodology will continue to be used for performance-based exercises.

Implementation of the COOP Plan: The execution of the phases defined in the COOP plan.

Information Technology: See Addendum 1 to this glossary for additional IT terms and definitions.

Interagency Agreements: A written agreement entered into between agencies that require specific goods or services to be furnished or tasks to be accomplished by one agency in support of the other.

Interoperability: 1. The ability of systems, personnel, or agencies to provide services to and accept services from other systems, personnel, or agencies and to use the services so exchanged to enable them to operate effectively together. 2. The condition achieved among communications-electronic systems or items of communications-electronics equipment when information or services can be exchanged directly and satisfactorily between them and/or their users.

Interoperable Communications: Alternate communications that provide the capability to perform essential functions, in conjunction with other agencies, until normal operations can be resumed.

Legal and Financial Records: Records that are needed to protect the legal and financial rights of the Government and of the persons affected by its actions.

Mission Critical Data: Information essential to supporting the execution of an agency's essential functions.

Mission Critical Systems: ADP equipment essential to supporting the execution of an agency's essential functions.

Multi-year Strategy and Program Management Plan: A process that ensures the maintenance and continued viability of COOP plans.

Non-specific Threat: Refers to a threat condition being implemented for a national declaration.

Office for Domestic Preparedness (ODP): Part of the United States Department of Homeland Security responsible for managing homeland security grant programs and the development of preparedness levels and standards.

Orders of Succession: Provisions for the assumption of senior agency offices during an emergency in the event that any of those officials are unavailable to execute their legal duties.

Originating Facility: The site of normal, day-to-day operations; the location where the employee usually goes to work.

Reconstitution: The process by which surviving and or replacement agency personnel resume normal agency operations from the original or replacement primary operating facility.

Risk Analysis: The identification and assessment of hazards and threats.

Specific Threat: Refers to a threat condition being implemented for a specific region or sector.

Telecommuting Locations: Those locations set up with computers and telephones that enable employees to work at a location closer to their house than their main office.

Test, Training and Exercises (TT&E): Measures to ensure that an agency's COOP program is capable of supporting the continued execution of its essential functions throughout the duration of a COOP situation.

Universal Task List (UTL): The UTL defines the essential tasks to be performed by federal, state and local governments and the private sector to prevent, respond to, and recover from a range of threats from terrorists, natural disasters, and other emergencies. A critical step in identifying and building required capabilities is to understand what homeland security tasks need to be performed. The UTL provides a common task-based language and reference system and encourages a systematic approach to planning and training. It also provides an objective basis for assessing preparedness through evaluation of critical task performance during exercises or real events.

Virtual Offices: A location or environment where an employee performs work through the use of portable information technology and communication packages.

Vital Databases: Information systems needed to support essential functions during a COOP situation.

Vital Records: Electronic and hardcopy documents, references and records needed to support essential functions during a COOP situation. The two basic categories of vital records are emergency operating records and legal and financial records.

Weapons of Mass Destruction (WMD): Weapons that are capable of a high order of destruction and/or of being used in such a manner as to cause injury or death to large numbers of people. Weapons of mass destruction can be high explosives or nuclear, biological, chemical and radiological weapons.

Work-at-home: When an employee carries out their work duties at their residence rather than their official duty station.

ACRONYMS

AAR	After-Action-Report
A&L	Administration and Logistics Planning Team
ALE	Automatic Link Establishment
APS	Auxiliary Power Supplies
CAP	Corrective Action Program
CBRNE	Chemical, Biological, Radiological, Nuclear, Explosive
CDC	Centers for Disease Control and Prevention
CFR	Code of Federal Regulations
CIP	Critical Infrastructure Protection
COG	Continuity of Government
COOP	Continuity of Operations
COTS	Commercial Off-the-Shelf
DAE	Disaster Assistance Employee
DAS	Department of Administrative Services
DEST	Domestic Emergency Support Team
DHS	Department of Homeland Security
DISC	Disaster Information Clearing House
DPH	Department of Public Health
DRF	Disaster Relief Fund
EAS	Emergency Alert System
ECG	Enduring Constitutional Government
EEO	Equal Employment Opportunity
EMA	Emergency Management Agency

EMS	Emergency Medical Services
EO	Executive Order
EOC	Emergency Operations Center
EP&R	Emergency Preparedness and Response
ERG	Emergency Relocation Group
ERS	Emergency Relocation Site
EST	Emergency Support Team
FCO	Federal Coordinating Officer
FCP	Forward Command Post
FE	Functional Exercise
FEMA	Federal Emergency Management Agency
FOUO	For Official Use Only
FPC	Federal Preparedness Circulars
FSE	Full-Scale Exercise
GSA	General Services Administration
GSE	General Services Enterprise
HF	High Frequency
HSA	Homeland Security Act
HSAS	Homeland Security Advisory System
HSEEP	Homeland Security Exercise and Evaluation Program
HSOC	Homeland Security Operations Center
HSPD	Homeland Security Presidential Directive
HQ	Headquarters
IO	Invitation Only
IPR	In-Progress Review
IFMIS	Integrated Financial Management Information System
IMT	Incident Management Team
IT	Information Technology
ITS	Information Technology Services
IGA	Intergovernmental Affairs
JIC	Joint Information Center

LC	Logistics Center
M&IE	Meals and Incidental Expenses
MOU	Memorandum of Understanding
NAWAS	National Warning System
NDMS	National Disaster Medical System
NEMIS	National Emergency Management Information System
NFIP	National Flood Insurance Program
NPGE	Not Printed at Government Expense
NPSC	National Processing Service Center
NRP	National Response Plan (formerly Federal Response Plan)
OAD	Office, Administration and Division
ODP	Office for Domestic Preparedness
OEP	Occupant Emergency Plan
PDD	Presidential Decision Directive
PIO	Public Information Officer
POC	Point of Contact
POV	Privately Owned Vehicle
RSS	Receiving, Staging, and Storage
SEOC	State Emergency Operations Center
SIMCELL	Simulation Cell
SNS	Strategic National Stockpile
S&R	Salvage and Recovery
SP&R	Site Preparation and Receiving
STE	Secure Telephone Equipment
STU	Secure Telephone Unit
T&A	Time and Attendance
TT&E	Test, Training and Exercise
TTX	Tabletop Exercise
U	Unclassified
UHF	Ultra High Frequency
UPS	Uninterrupted Power Supply

US&R	Urban Search and Rescue
UTL	Universal Task List
WMD	Weapon of Mass Destruction
Y2K	Year 2000

APPENDIX N – TAB 1: INFORMATION TECHNOLOGY UNIQUE TERMS AND DEFINITIONS

ATM (Asynchronous Transfer Mode) - Asynchronous Transfer Mode is a connection-oriented protocol that uses very short fixed-length (53 bytes) packets called cells to carry voice, data and video signals. By using a standard cell size, ATM can switch data via software. Hence, ATM can route and switch its traffic at higher speeds.

Backbone - The ICN backbone includes the HUB, the centralized switching center of the Network, interconnecting the HUB with all Part I and Part II endpoints throughout the State by digital links for two-way transmission of 45 megabit video, voice and data for State, education and administrative purposes as defined in the Iowa Code, Chapter 8D. Iowa's fiber optic network backbone is like the trunk of a tree with many branches reaching out to communication sites.

Bandwidth - A measurement of capacity that determines the rate information can be transmitted across the medium. These rates are measured in bits (bps), kilobits (kbps), megabits (mbps), or gigabits (gbps) per second. Typical transmission services are 64 kbps, 1.544 mbps (T-1), and 45 mbps (T-3/DS-3).

Bps (bits per second) - The number of binary digits transmitted per second in a data communications system.

Broadband - A facility or circuit that has bandwidth in excess of that required for high-grade voice communications.

Channel - A communication path established between two or more institutions.

Compressed Video - Compressed video, as commonly used at the ICN, is 1/28th of the ICN standard education video bandwidth. Used mainly for telemedicine, compressed video can link rural hospitals to urban counterparts for such telemedicine services as physician conferences, diagnoses, consultations, and the rapid transmission of X-rays, CAT scans and ultrasound studies. Compressed video is satisfactory for teleconferencing but limited in its use for the classroom.

CPOP (County Point of Presence) - Similar to a POP.

DAX (Digital Exchange) - A computerized digital cross connect that allows one or more specific channels from high-capacity lines to be split out separately and redirected.

DCC-45 (Digital Cross Connect) - A switch within the network that connects full motion video classrooms.

Dedicated Connection - A point-to-point data transmission circuit to be used by a designated client only and is not shared by other clients. Also called dedicated circuit.

Dial Tone - The sound provided from the ICN switch to the client's phone signaling that the line is capable of making a connection. Dial tone is provided as part of voice service or POTS.

Dial-up - The process of or the facilities involved in establishing a temporary connection via a switched telephone network.

Digital - In data communications, digital describes the binary ("1/10") output of a computer or terminal. Modems convert the pulsating digital sounds into analog waves for transmission over conventional telephone lines.

Direct Connection - A circuit from a client to an ICN POP. Examples include, but are not limited to: addition of a PVC that requires the addition of a physical circuit; addition of long distance voice services that require a connection from a client switch to an ICN switching device; and installation of circuits to enable full motion interactive video services.

Distance Education - Ability to establish a learning situation across wide geographical distances. Teacher and students may be located in two or more classrooms. With fiber optics capability, participants can interact in a two-way voice and video interactive environment.

DMS 500 (Digital Multiplex System) - DMS 500 is the switching system used for all of the voice, data and dialable wideband video services offered by the ICN.

DNS (Domain Name Service) - an Internet service that provides translations between Domain Names (www.icn.State.ia.us) and the IP addresses (165.206.53.250) used by Internet Routers.

DS-0 - DS-0 is the designation for a digital signal for 64 kbps. It is the digital equivalent of one normal telephone line. Measures the speed information can be transmitted.

DS-1 - DS-1 is the designation for a digital signal for 1.544 million bps. A digital transmission format in which 24 telephone line equivalents are multiplexed into one DS-1 channel. A DS-1 and a T-1 are equivalent. Measures the speed information can be transmitted. Video transmitted at this speed is 1/28th of the DS-3 that approximates full motion.

DS-3 - DS-3 is the designation for a digital signal for 44.736 million bps. A telephone term describing the 44.736 million bps signal carried on a DS-3 facility. One DS-3 equals 28 DS-1s or 672 DS-0s. Measures the speed information can be transmitted. A DS-3 and a T-3 are equivalent. Video transmitted at this speed approximates full motion.

Equal Access - The ability to choose between the different carriers for a long distance provider. Some local exchange carriers are serviced by only one long distance carrier.

End Point Locations - Refers to ICN POP locations that are the farthest points from Node and Non-Node Sites. Many of these sites are known as Part III sites. These sites are connected by either ICN owned or leased fiber paths. These paths may be dark fiber connections or bandwidth dictated service, normally DS-3, from a telecommunications vendor. End Point Locations include; National Guard Armories, High/Jr High/Middle Schools, Grade Schools, State Agencies, Hospitals, Clinics or Area Educations Agencies, Libraries, Federal Sites or other ICN Authorized Customers. Currently, there are over 775 sites defined as End Point Locations. Network configuration and maintenance definition is subject to change at any time.

Ethernet - The industry standard protocol for coaxial cable LANs. Ethernet has a transfer rate of 10 Mbps and is also used in twisted pair wires and WANs.

Exchange - Exchange is a switching center, or the area where a common carrier furnishes service at the exchange rate. Under required regulations, exchange rates must be prescribed in the carrier's filed tariffs.

Feature - That which ICN provides which is functional and beneficial to a customer, and must depend upon a service to be operational. Types of features: Voice Mail, ACD, Call Processing, Call Forwarding, Roll Over Lines, Referral Messaging, or Conference Bridging.

Fiber Optics - The technology using thin strands of glass to propagate transmission signals. The maximum bandwidth at which a fiber optic cable can transmit signals has yet to be determined.

FOTS (Fiber Optic Terminal System) - Each site has a FOTS room where fiber enters the building. Signal regeneration equipment that recognizes and interprets the incoming light signal into new, stronger pulses of light is often found in the FOTS room.

FRAL (Frame Relay Access Link) - A physical circuit that connects two portions of frame relay equipment.

Frame Relay - A communications method for connecting computer systems (Local Area Networks) via data routers and switching data more efficiently by use of a Cascade Switch. Data is divided and compressed into packets of information allowing more than one person to access the same physical circuit simultaneously.

Full Motion Video - A video channel utilizing MPEG 2.

Hub - Network description where each location is connected to a central point. The ICN HUB is located at the JFHQ Armory, Johnston, IA.

ICN (Iowa Communications Network) - See Network.

IEC or IXC (Interchange Carrier) - Any carrier registered with the FCC authorized to carry customer transmissions between LATAs interstate. In addition, if approved by a State public utility commission, intrastate which includes carriers such as AT&T, MCI, or US Sprint.

Inside Wiring - Wiring which goes beyond the Demarc.

Interactive - Live communications with either two-way audio and video, or two-way audio and one-way video, and allows for question-and-answer capabilities.

Interactive Video - Capability to transmit and receive two-way (full duplex) video transmissions between originating site and remote classrooms. ICN two-way video is interactive.

Internet - Network of computer networks, linking computers from colleges and universities, government agencies, institutions and commercial organizations worldwide. It is the largest international computer network in the world.

Internet Subscription - ICN service that provides access to the Internet via a gateway.

IPTV - Iowa Public Television.

ISDN (Integrated Services Digital Network) - ICN service that allows a variety of switched digital data and voice transmissions to be accommodated simultaneously. Networking concept that provides subscribers with end-to-end fully digital communications.

ITTC (Iowa Telecommunications and Technology Commission) - Governing body established by Senate File 2089 during the 1994 Legislative Session. Made up of five voting members and an ex officio member (State Auditor). Voting members are appointed by the Governor and confirmed by the Iowa Senate.

LAN (Local Area Network) - Is a geographically limited data communications system capable of sharing hardware and software. LANs are typically restricted to within a building or adjacent buildings within the same campus.

LAPB (Link Access Protocol Balanced) - A data link layer protocol for X.25.

LATA (Local Access Exchange Area) - Geographic service area where long distance service within the LATA is provided by the LEC. Long distance service between LATAs is provided by an IEC.

LEC (Local Exchange Carrier) - Carrier providing local dialing, switching, and data transmission services to customers within a LATA. LECs have monopolies with LATAs.

LOA (Letter of Authorization) - A document from a client granting permission to carry toll free and long distance traffic.

Mbps (mega bits per second) - Measure of the number of bits of data transmitted in a second, where mega (M) is one million bits.

Meshed - Network description where each location is connected to all other locations in a WAN.

Multiplexer/ Mux - Equipment that allows two or more signals to pass over and share a common transmission path.

Narrowcast - Transmission of programs to a specifically defined audience normally using the newer technology delivery systems. Sometimes referred to as a target audience, a limited audience, or a "narrow" audience, hence the name "Narrowcast."

News Service - Newsgroups are a means of "public discussion". Newsgroup articles (messages) look like e-mail, but they can be read (potentially) by millions of people all over the world using software that follows a protocol called NNTP.

Network - Iowa Communications Network consisting of the HUB (JFHQ Armory); interconnecting the HUB with all Part I endpoints (regional switching centers, Regents Institutions, and other Part I endpoints); Part II endpoints (secondary switching centers); and Part III endpoints (schools, libraries and area education agencies). Includes State and Federal government administration sites.

Node Site - Refers to ICN POP aggregation locations that reside on the Network fiber rings that have switching, repeating, multiplexing and ring topology equipment. These Node Sites pass traffic to Non-Node Sites and aggregation locations. These sites may also pass traffic directly to an End Point Location or to local telecommunication vendors. Node Sites may be located in sites called Part I, Part II or Part III. Fiber paths connecting the Node Sites are connected with ICN owned fiber optic cable. Currently, there are approximately 54 network node sites. Network configuration is subject to change at any time.

Non-Node Sites - Refers to ICN POP aggregation locations that do not reside on the Network fiber rings. These sites may also pass traffic directly to an End Point Location or to local telecommunication vendors. Non-Node Sites may be located in sites called Part I, Part II or Part III. Fiber paths connecting the Non-Node Sites are connected with ICN owned fiber optic cable. Non-Node Sites are located at High/Jr High/Middle Schools, Grade Schools or Area Education Agencies, or other ICN authorized customers. Currently, there are approximately 75 non-node sites. Network configuration is subject to change at any time.

Off-net - Term describing a circuit that goes through an ICN switch and through a LEC cloud before reaching the ICN backbone.

On-net - Term describing a circuit which goes through an ICN switch but does not go through a LEC cloud before reaching the ICN backbone.

Part I - Involved the installation of a Network Control Center at the JFHQ Armory in Johnston and the linking of Iowa's three Regents Universities, 15 community colleges, Iowa Public Television and the State Capitol Complex.

Part II - Involved creating a point of presence in each of the remaining 84 Iowa counties by connecting to the 15 community colleges.

Part III - Involved expanding the Network to other authorized users within the counties, such as schools, libraries and area education agencies.

PIC (Primary Inter-exchange Carrier) - A telecommunications provider chosen by the customer which automatically carries their long distance calls. ICN is a PIC as well as an IXC.

Pick Group - In voice service, a predefined group of lines.

Point-to-Point - Circuit that directly connects two points. There are generally no intermediate processing nodes or computers, although there could be switching facilities (e.g., a phone line circuit that links two and only two logical entities).

POP (Point of Presence) - A remote facility from which services are distributed.

POTS (Plain Old Telephone) - Service which provides the ability to place a phone call.

PPP (Point-to-Point Protocol) - An Internet standard protocol for transmitting IP packets and used in router-to-router and host-to-network connections. PPP can encapsulate several network layer protocols such as IP, IPX and AppleTalk.

Primary DNS- A server the Network uses as first choice for resolving Domain Names.

PVC (Permanent Virtual Circuit) - A point-to-point data transmission circuit included within a physical circuit or FRAL. PVCs permit customers to transmit data while sharing the physical circuit with other authorized users of the ICN. Commonly referred to as frame relay circuits.

Real Time - Capture, processing and presentation of data at the time the data is originated.

Regional Switching Centers - Part I endpoints providing interconnectivity for Part II endpoints and Part III endpoints.

Repeater - A device that introduces gain into a circuit.

Ring Topology - Network structure whereby a connection between devices is arranged in a physical ring.

Router - Sophisticated, protocol-specific device that passes data between LANs by examining the data and selecting the most efficient of all available routes.

Scheduling - Process of reserving sessions for DS-3 full-motion video via regional schedulers or ISDN compressed video via video engineer.

SDLC (Synchronous Data Link Control) - A network protocol capable of point-to-point, multipoint or loop structuring.

Secondary DNS - A server which provides a "mirror" image of the Primary DNS server, and acts as a backup in case the primary fails.

SMDS (Switched Multi-megabit Data Services) - A fast packet-switching communications standard using fixed-sized cells with a transfer rate of 1.544 Mbps to 45 Mbps.

SONET (Synchronous Optical Network) - American and international standard for transmission of digital signals.

Standard Service - A service that appears on the SORD that has a clear and consistent definition, delivery process and pricing policy. One of ICN's objectives is to have all services defined as either standard services or temporary standard services.

Subscription - A service category that includes standard services which are functional, beneficial and billable to a customer and must depend upon a transmission service to be operational. Types of subscriptions include Internet and router.

SVC (Switched Virtual Circuit) - A temporary circuit for data transmission.

Switch - Computers or electromechanical devices that connect transmissions to their destination points.

T-1 - Part of transmission service providing a transmission rate of 1.544 Mbps or equivalent to 24 DS-0 circuits.

Telecommunications - Communications process that allows the transmission of information from a sender to a receiver by means of an electromagnetic or lightwave medium.

Teleconferencing - Conference of two or more people linked by telecommunications. It can be audio only, video one-way and audio the other, or video both ways.

Telejustice - Use of a telecommunications system for conducting both State and Federal judicial proceedings such as hearings.

Telemedicine - Use of a telecommunications system for purposes of health care. Telemedicine can link rural hospitals to urban counterparts for such services as physician conferences for diagnoses and the rapid transmission of X-ray film, CT head scans, and ultrasound studies.

Temporary Standard Service - A service that has a clear and consistent definition but does not need to appear on the rate sheet. Temporary standard services are billed on a case-by-case basis. All ICN services are defined as either standard services or temporary standard services.

Token Ring - A LAN set up that uses a "token" to grant transmission access to sequentially ordered stations within the network.

Topology – The overall configuration of a network.

Traffic - Volume and intensity of transmitted signals on a communications channel.

Transmission - Sending and receiving of a telecommunications signals.

Transmission Service - A service category that includes standard services providing for the sending and receiving of information from one point to another. This includes all components necessary for connecting and maintaining a connection. Types of transmission protocols: X.25, PPP, SDLC, SMDS, LAPB, Ethernet, Frame Relay, ISDN, Token Ring and ATM.

Trunk - A backbone circuit that connects switches.

Video Conferencing - Real-time, usually two-way, transmission of digitized video images between two or more locations.

Virtual Circuit - Network facilities that give the appearance of an actual end-to-end circuit in packet switching. A dynamically variable network connection where sequential user data packets may be routed differently.

Voice Service - A service category that includes standard services providing inbound and/or outbound calling ability. Types of voice services: Local Dialing, Long Distance, Toll Free, Standard Calling Card and Toll Free Calling Card.

WAN (Wide Area Network) - Network of computer devices separated by a large geographical area.

X.25 - A widely used packet switching protocol that defines standard physical, datalink and network layers in public switched networks. X.25 is the predecessor to frame relay and ATM.

APPENDIX O: COOP PLAN REVIEW CHECKLIST AND CERTIFICATION OF COMPLETION

(Note: Some planning elements may not be applicable to your specific COOP/COG operations. Please denote if that is the case.)

Worksheet – Plan Review Checklist

Planning Element	Agency Plan Reference
Essential Functions	
1. Essential functions are listed and prioritized.	
2. Staffing requirements for each essential function are identified.	
3. Resource requirements for each essential function are identified.	
4. Critical data and data systems for each essential function are identified.	
5. Support activities are addressed as part of essential functions.	
6. Plans exist for attaining operational capability within 12 hours.	
7. Processes and procedures exist to acquire resources necessary to continue essential functions and sustain operations for up to 30 days.	
Line of Succession	
1. Line of succession is established for the department's highest position of authority.	
2. Line of succession is established for other leadership positions.	
3. Limitations on delegate authority are listed.	
4. Lines of succession are included in the plan.	
5. Rosters of trained personnel with the authority to perform essential functions and activities are maintained.	
6. Rules and procedures for implementing order of succession are established.	
7. Rules and procedures for order of succession include initiating conditions, notification methods, and terminating conditions.	
Alternate Facilities	
1. Immediate capability exists to operate under potential threat conditions, including WMD threats.	
2. Sufficient space and equipment to sustain the relocating organization is identified.	
3. Pre-positioned resources are identified or contingency contracts are established with appropriate resource providers.	
4. Plan includes provisions for establishing interoperable communications with all identified essential internal and external organizations, critical customers, and the public.	
5. Alternate facilities provide for logistical support, services, and infrastructure systems (e.g., water, electrical power, heating, and air conditioning).	
6. Plan contains provisions to sustain operations for a period of up to 30 days.	
7. Plan addresses considerations for the health and safety of relocated employees.	
8. Plan addresses physical security and access controls.	
Interoperable Communications	
1. Procedures/plans exist for communications with COOP/COG contingency staffs, management, and other organizational components.	
2. Procedures/plans exist for communications with other agencies and emergency personnel.	

3. Procedures/plans exist for access to data and systems necessary to conduct essential activities and functions.	
Vital Records and Databases	
1. Essential emergency operating plans, including line of succession; delegations of authority; staffing assignments; and policy or procedural records are identified.	
2. Essential legal and financial records, such as accounts receivable; contracting and acquisition files; official personnel files; Social Security records; payroll, retirement, and insurance records; and property management and inventory records are identified.	
3. Provisions for classified or sensitive data are included.	
4. Procedures for data backup and restoration are included.	
5. Location of and accessibility to vital records are identified.	
Tests, Training, and Exercises	
1. Plans include annual individual and team training of department COOP/COG emergency personnel.	
2. Plans include annual department testing and exercising of COOP/COG Plans and procedures.	
3. Plans include quarterly testing of emergency alert and notification procedures.	
4. Plans include refresher orientation for COOP/COG staff.	
5. Plans include interdepartmental exercising of COOP/COG Plans where applicable and feasible.	
Plans and Procedures	
1. Procedures for employee advisories, alerts, and COOP/COG Plan activation are included.	
2. Provisions for personnel accountability throughout the duration of the emergency are included.	
3. Procedures exist for an annual review of this department COOP Plan and the ability to make any needed revisions.	

SECTION XIII – ANNEXES - DETAILED “COOP/COG IMPLEMENTATION PLANS”

As part of the State Continuity of Operations (COOP)/Continuity of Government (COG) Planning Guidance document, each Annex is the individualized, detailed “*COOP/COG Implementation Plan*” from each Department identified. Copies of each plan will be maintained in each agency and a copy provided to the HLSEM Division for safekeeping.

Each Department will utilize the “Implementation Plan Template” to complete its individualized plans. Department plans need not include a listing of all department plans, as shown below. Departments not need list all Annexes associated with State COOP/COG Planning Guidance. However, as departments develop additional COOP/COG Plans for divisions and bureaus within their organizations, you may then use annexes to maintain their specific division or bureau COOP/COG Plans.

i. Executive Branch

Member Offices of the Executive Council

- Annex A: Office of the Governor
- Annex B: Office of the Secretary of State.
- Annex C: Office of the Auditor of State
- Annex D: Office of the Treasurer of State
- Annex E: Office of the Attorney General
- Annex F: Office of the Secretary of Agriculture

Departments, Commissions, Boards and Special Activities

- Annex G: Department of Administrative Services
- Annex H: Department of Agriculture and Land Stewardship
- Annex I: Department for the Blind
- Annex J: Department of Commerce
- Annex K: Department of Corrections
- Annex L: Department of Cultural Affairs
- Annex M: Department of Economic Development
- Annex N: Department of Education
- Annex O: Department of Elder Affairs
- Annex P: Department of Human Rights
- Annex Q: Department of Human Services
- Annex R: Department of Inspections and Appeals
- Annex S: Department of Management
- Annex T: Department of Natural Resources
- Annex U: Department of Public Defense
- Annex V: Department of Public Health
- Annex W: Department of Public Safety
- Annex X: Department of Revenue

- Annex Y: Department of Transportation
 - Annex Z: Department of Veteran's Affairs
 - Annex AA: Iowa Workforce Development
 - Annex AB: Iowa Board of Regents
 - Annex AC: Iowa Communications Network
 - Annex AD: Iowa Civil Rights Commission
 - Annex AE: University of Iowa Hygienic Lab
 - Annex AF: Public Employment Relations Board
 - Annex AG: College Student Aid Commission
 - Annex AH: Iowa Public Employees Retirement System
 - Annex AI: Iowa Finance Authority
 - Annex AJ: Iowa Veterans Home
 - Annex AK: Parole Board
 - Annex AL: Iowa Law Enforcement Academy
 - Annex AM: IGOV Office of Drug Control Policy
- ii. Judicial Branch
- Annex JA: Judicial Branch
- iii. Legislative Branch
- Annex LA: Legislative Branch

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